



State of Rhode Island and Providence Plantations
Department of State - Business Services Division

Application for Certificate of Authority

FOREIGN Business Corporation

→ Filing Fee: \$310.00 minimum

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R.I. DEPT. OF STATE
BUS SVCS DIV

2020 MAY 12 PM 12:59

STAMP

Pursuant to the provisions of RIGL 7-1.2-1405, the undersigned foreign corporation hereby applies for a Certificate of Authority to transact business in the State of Rhode Island, and for that purpose submits the following statement:

1. The name of the corporation is: J.P. Morgan Investment Management Inc.		
2. It is incorporated under the laws of: Delaware		
3. The name, if different, which it elects to use in Rhode Island is: (a) If the name of the corporation in its jurisdiction of incorporation does not contain the word "corporation", "company", "incorporated", or "limited," or an abbreviation thereof, then list the name of the corporation with the addition of one of the above corporate endings for use in Rhode Island: (b) If the corporate name is not available in Rhode Island, then set forth below the fictitious name under which the corporation will qualify and transact business in Rhode Island as stated in the "Fictitious Business Name Statement" to be filed with this application:		
4. The date of its incorporation is: 02/07/1984 And the period of its duration is: CHECK ONE BOX ONLY ☒ Perpetual (on-going) ☐ Date certain for dissolution _____		
5. The address of its principal office is: 383 Madison Avenue, New York, New York, NY, 10179, United States		
6. The name and address of the initial registered agent/office in Rhode Island: Agent Name <i>CT</i> C T Corporation System Street Address (NOT a P.O. Box) 450 Veterans Memorial Parkway, Suite 7A. City/Town East Providence State RHODE ISLAND Zip Code 02914		

MAIL TO:

Division of Business Services
148 W River Street, Providence, Rhode Island 02904-2615
Phone: (401) 222-3040
Website: www.sos.ri.gov

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BY *333 AD*

FORM 150 - Revised: 12/2017

A.A. 12:59pm.

7. The purpose or purposes which it proposes to pursue in the transaction of business in Rhode Island are:

Wholesale of J.P. Morgan Investment Management Inc. products to Insurance Intermediaries.

8. (a) The names and respective addresses of its directors (optional, unless directors are required under the laws of the state or country of which it is incorporated):

NAME	ADDRESS
Andrew Powell	383 Madison Avenue, New York, NY, 10179, United States
Anton C. Pil	383 Madison Avenue, New York, NY, 10179, United States
Craig M. Sullivan	383 Madison Avenue, New York, NY, 10179, United States
George C. Gatch	383 Madison Avenue, New York, NY, 10179, United States

Check the box to indicate an attachment ☒

8. (b) The names and respective addresses of its principal officers (mandatory if directors are not required under the laws of the state or country of which it is incorporated):

OFFICE	NAME	ADDRESS
PRESIDENT	John T. Donohue	383 Madison Avenue, New York, NY, 10179, United States
VICE PRESIDENT	Sandra J. Perez	383 Madison Avenue, New York, NY, 10179, United States
TREASURER	Omar F. Altahawi	383 Madison Avenue, New York, NY, 10179, United States
SECRETARY	Scott E. Richter	383 Madison Avenue, New York, NY, 10179, United States

Check the box to indicate an attachment ☒

9. The aggregate number of shares which it has authority to issue; itemized by classes, par value of shares, shares without par value, and series, if any, within a class, is:

NUMBER OF SHARES	CLASS	SERIES	PAR VALUE OR STATE NO PAR VALUE
45,000	Common	Par Value	100 • 00

10. An estimate, **as a percentage**, of the proportion that the estimated value of the property of the corporation to be located within this state during the following year bears to the value of all property of the corporation to be owned during the following year, wherever located. (Note: Percentage obtained from worksheet.)

0 _____ %

11. An estimate, **as a percentage**, of the proportion of the gross amount of business to be transacted by the corporation at or from places of business in Rhode Island during the following year compared to the gross amount thereof which will be transacted by the corporation during the following year. (Note: Percentage obtained from worksheet.)

0 _____ %

Appointment of Additional Directors for J.P. Morgan Investment Management Inc.

Appointment Type	Director	Address
Director	John T. Donohue	383 Madison Avenue, New York, NY, 10179, United States
Director	Joy C. Dowd	384 Madison Avenue, New York, NY, 10179, United States
Director	Lawrence M. Unrein	385 Madison Avenue, New York, NY, 10179, United States
Director	Michael A. Camacho	386 Madison Avenue, New York, NY, 10179, United States
Director	Mike J. O'Brien	387 Madison Avenue, New York, NY, 10179, United States
Director	Paul A. Quinsee	388 Madison Avenue, New York, NY, 10179, United States
Director	Robert C. Michele	389 Madison Avenue, New York, NY, 10179, United States

Appointment of Additional Officers for J.P. Morgan Investment Management Inc.

Appointment Type	Appointed Entity	Address
Vice President	Anne M. Christ	383 Madison Avenue, New York, NY, 10179, United States
Vice President	Katherine G. Manghillis	384 Madison Avenue, New York, NY, 10179, United States

12. This application must be accompanied by a <u>Certificate of Good Standing/Letter of Status</u> from the state or country of formation dated within 60 days of the date of this filing.	
13. Date when the Certificate of Authority will be effective: CHECK ONE BOX ONLY	
☒ Date received (Upon filing)	
☐ Later effective date (Date must be no more than 90 days from the date of filing) _____	
<i>Under penalty of perjury, I declare and affirm that I have examined this Application for Certificate of Authority, including any accompanying attachments, and that all statements contained herein are true and correct.</i>	
Type or Print Name of Authorized Officer	Date
Scott E. Richter, Managing Director & Secretary	05/10/2020
Signature of Authorized Officer of the Corporation Scott E. Richter	

If you have any questions, please call us at (401) 222-3040, Monday through Friday, between 8:30 a.m. and 4:30 p.m., or email corporations@sos.ri.gov.

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Delaware

The First State

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I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "J.P. MORGAN INVESTMENT MANAGEMENT INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE ELEVENTH DAY OF MAY, A.D. 2020.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL REPORTS HAVE BEEN FILED TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE BEEN PAID TO DATE.

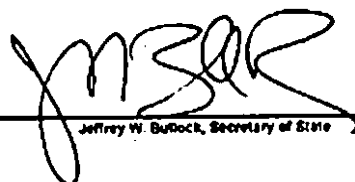
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2020 MAY 12 PM 12:59



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SR# 20203722920

You may verify this certificate online at corp.delaware.gov/authver.shtml


Jeffrey W. Bullock, Secretary of State

Authentication: 202911041

Date: 05-11-20



State of Rhode Island and Providence Plantations
Department of State | Office of the Secretary of State
Nellie M. Gorbea, *Secretary of State*

I, NELLIE M. GORBEA, Secretary of State of the State of Rhode Island
and Providence Plantations, hereby certify that this document, duly executed in
accordance with the provisions of Title 7 of the General Laws of Rhode Island, as
amended, has been filed in this office on this day:

May 12, 2020 12:59 PM

The signature is written in a cursive, flowing style in blue ink. It appears to read "Nellie M. Gorbea".

Nellie M. Gorbea
Secretary of State

