State of Rhode Island
**Department of State - Business Services Division**

# Application for Certificate of Authority

FOREIGN Business Corporation

→ Filing Fee: $310.00 minimum

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:

Osaic Institutions, Inc.

2. It is incorporated under the laws of: Connecticut

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: 04/07/1993

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:

c/o Nina McKenna, Secretary, 538 Preston Avenue, Meriden, CT 06450

6. The name and address of the initial registered agent/office in Rhode Island:

Agent Name: Corporation Service Company

Street Address (NOT a P.O. Box): 222 Jefferson Boulevard, Suite 200

| City/Town | State | Zip Code |
|---|---|---|
| Warwick | RHODE ISLAND | 02888 |

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

**FILED**

SEP 23 2024

BY KKRB

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FORM 150 - Revised. 12/2021

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

Broker dealer and registered investment advisory services

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 |
|---|---|
| Greg Cornick | 18700 N. Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| Matthew Schlueter | 2300 Windy Ridge Parkway, Suite 750, Atlanta, GA 30339 |
| Stephen P. Amarante | 538 Preston Avenue, Meriden, CT 06450 |
| | |

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 | Stephen P. Amarante | 538 Preston Avenue, Meriden, CT 06450 |
| VICE PRESIDENT | Matthew Schlueter | 2300 Windy Ridge Prkwy, Ste 750, Atlanta, GA |
| TREASURER | Scott Seiffert | 18700 N. Hayden Rd., Ste 255, Scottsdale, AZ |
| SECRETARY | Nina McKenna | 18700 N. Hayden Rd., Ste 255, Scottsdale, AZ |

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 |
|---|---|---|---|
| 250,000 | Common | | 0 |
| | | | |
| | | | |
| | | | |

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.)*

.08 %

**Osaic Institutions, Inc. (fka Infinex Investments, Inc.)**

| Name | Title | Address |
|---|---|---|
| Stephen Amarante | Director | 538 Preston Avenue, Meriden, CT 06450 |
| Greg Comick | Director | 18700 N. Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| Matthew Schlueter | Director | 2300 Windy Ridge Parkway, Suite 750, Atlanta GA 30339 |
| Stephen Amarante | CEO, President | 538 Preston Avenue, Meriden, CT 06450 |
| Matthew Schlueter | Executive Vice President | 2300 Windy Ridge Parkway, Suite 750, Atlanta GA 30339 |
| Jamie Price | Chairman | 18700 N Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| Tim Hodge | Chief Operations Officer | 18700 N Hayden Rd , Ste 255, Scottsdale, AZ 85255 |
| John Kulik | Vice President, Operations | 538 Preston Avenue, Meriden, CT 06450 |
| Scott Seiffert | Chief Accounting Officer | 18700 N Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| John Michael Cooney | Senior Vice President, Chief Compliance Officer | 18700 N. Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| Nina McKenna | Secretary | 18700 N Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| Abby Henig | Assistant Secretary | 18700 N Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| Gabrielle Porch | Assistant Secretary | 18700 N. Hayden Rd , Ste 255, Scottsdale, AZ 85255 |
| Leo Beauregard | Anti-Money Laundering Officer | 538 Preston Avenue, Meriden, CT 06450 |
| Richard Koll | Senior Vice President of Client Experience | 640 5th Ave., 4th Floor, New York, NY 10019 |
| Holger Kunst | Senior Vice President, Chief Information Officer | 538 Preston Avenue, Meriden, CT 06450 |
| Kevin Mancini | Senior Vice President, Director of System Integrations and Customer Support | 538 Preston Avenue, Meriden, CT 06450 |
| Brittany Chambers | Vice President, Director of Marketing and Communications | 12325 Port Grace Blvd , La Vista, NE 68128 |
| Heather Justo | Associate Vice President of Financial Reporting | 18700 N Hayden Rd., Ste 255, Scottsdale, AZ 85255 |
| Peter Hirsch | Vice President, Retirement Plans, Supervision | 2300 Windy Ridge Parkway, Suite 750, Atlanta GA 30339 |

12. This application must be accompanied by a Certificate of Good Standing/Letter of Status 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)_____

*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.*

| Type or Print Name of Authorized Officer | Date |
|---|---|
| Abby Henig, Assistant Secretary | 09/16/2024 |

Signature of Authorized Officer of the Corporation

**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.**

# Secretary of the State of Connecticut
# Certificate of Legal Existence

Certificate of Legal Existence Certificate

Date Issued: Wednesday, September 18, 2024 4:31 PM

I, the Connecticut Secretary of the State, and keeper of the seal thereof, do hereby certify, that the certificate of incorporation for the below domestic Stock corporation was filed in this office.

A certificate of dissolution has not been filed, the corporation has filed all annual reports, and so far, as indicated by the records of this office, such corporation is in existence.

**Business Details**

| | |
|---|---|
| Business Name | OSAIC INSTITUTIONS, INC. |
| Business ALEI | US-CT.BER:0284506 |
| Formation Date | 04/07/1993 |

Secretary of the State

State of Rhode Island
**Department of State | Office of the Secretary of State**
**Gregg M. Amore,** *Secretary of State*

I, GREGG M. AMORE, Secretary of State of the State of Rhode Island, 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:

September 23, 2024 12:16 PM

Gregg M. Amore
*Secretary of State*