

F17000004528

Division of Corporations

Florida Department of State
Division of Corporations
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To:

Division of Corporations
Fax Number : (850)617-6383

From:

Account Name : C T CORPORATION SYSTEM
Account Number : FCA000000023
Phone : (512)418-6949
Fax Number : (954)208-0845

****Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.****

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FOREIGN PROFIT/NONPROFIT CORPORATION
HSBC Global Asset Management (USA) Inc.

Certificate of Status	0
Certified Copy	0
Page Count	06
Estimated Charge	\$70.00

2017 OCT -9 AM 10:32

TALLAHASSEE, FLORIDA

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

17 OCT -9 AM 9:18

FILED

S. WARREN

OCT 10 2017

APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA

IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.

1. HSBC Global Asset Management (USA) Inc.
 (Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION," "INC.," "CO.," "Corp.," "Ltd.," "Co.," or "Corp.")

2. New York
 (State or country under the law of which it is incorporated)

3. 06-1161918
 (FBI number, if applicable)

4. January 29, 1980
 (Date of incorporation)

5.
 (Date of duration, if other than perpetual)

6. N/A
 (Date first transacted business in Florida, if prior to registration)
 (SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

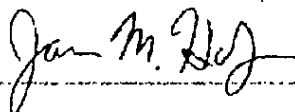
7. 152 Fifth Avenue, New York, New York 10018
 (Principal office address)

8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)
 Name: C.T. Corporation System
 Office Address: 1200 South Pine Island Road
 Plantation, Florida 33324
 (City) (Zip code)

9. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.

C.T. Corporation System

By:  James Halpin, Assistant Secretary
 (Registered agent's signature)

10. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

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 TALLAHASSEE, FLORIDA

11. Names and business addresses of officers and/or directors:

A. DIRECTORS

Chairman: Patrick James Burke

Address: 452 Fifth Avenue, New York, New York 10018

Vice Chairman: Deborah A. Hazell

Address: 452 Fifth Avenue, New York, New York 10018

Director: Loren C. Klug

Address: 1421 West Shure Drive, Arlington Heights, Illinois 60004

Director: Pablo Sanchez

Address: 452 Fifth Avenue, New York, New York 10018

B. OFFICERS

President: Deborah A. Hazell

Address: 452 Fifth Avenue, New York, New York 10018

Vice President: James S. Riegel

Address: 1421 West Shure Drive, Arlington Heights, Illinois

Secretary: Taquana Johnson

Address: 8-10 East 40th Street, New York, New York 10016

Treasurer: Lynn Gurgano

Address: 452 Fifth Avenue, New York, New York 10018

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

12.

Helen Kujawa

Signature of Director or Officer

The officer or director signing this document (and who is listed in number 11 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

13. Helen Kujawa, Assistant Secretary

(Typed or printed name and capacity of person signing application)

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HSBC GLOBAL ASSET MANAGEMENT (USA) INC.

Additional Directors

Paul D. Dawe
452 Fifth Avenue
New York, New York 10018

Stefano Michelagnoli
452 Fifth Avenue
New York, New York 10018

Additional Corporate Officers

Randeep Brar, Chief Risk Officer
452 Fifth Avenue
New York, New York 10018

Paul Dawe, Chief Operating Officer
452 Fifth Avenue
New York, New York 10018

Lynn Gargano, Chief Financial Officer
452 Fifth Avenue
New York, New York 10018

Jonathan Curry, Chief Investment Officer
452 Fifth Avenue
New York, New York 10018

Yvonne L. Pytlík, Chief Compliance Officer
452 Fifth Avenue
New York, New York 10018

Marilou E. Sullivan, Senior Vice President,
Human Resource Service Delivery
961 Weigel Drive
Elmhurst, Illinois 60126

Stefano Michelagnoli, Head of Product Management
452 Fifth Avenue
New York, New York 10018

James M. Curtis, Associate General Counsel and Assistant Secretary
452 Fifth Avenue
New York, New York 10018

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TALLAHASSEE, FLORIDA

Helen Kujawa, Assistant Secretary
95 Washington Street, 1 South
Buffalo, New York 14203

Steven E. Smith, Vice President, Corporate Tax
1421 West Shure Drive
Arlington Heights, Illinois 60004

Rick L. Behnke, Assistant Vice President, Corporate Tax
1421 West Shure Drive
Arlington Heights, Illinois 60004

AMLS Director and Corporate Officer List_9.28.17

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SEAL OF STATE
TALLAHASSEE, FLORIDA

State of New York Department of State } ss:

I hereby certify, that the Certificate of Incorporation of HSBC GLOBAL ASSET MANAGEMENT (USA) INC. was filed on 01/29/1988, under the name of MARINVEST INC., with perpetual duration, and that a diligent examination has been made of the Corporate index for documents filed with this Department for a certificate, order, or record of a dissolution, and upon such examination, no such certificate, order or record has been found, and that so far as indicated by the records of this Department, such corporation is an existing corporation.

A Certificate of Amendment MARINVEST INC., changing its name to HSBC ASSET MANAGEMENT AMERICAS INC., was filed 03/01/1994.

A Certificate of Amendment HSBC ASSET MANAGEMENT AMERICAS INC., changing its name to HSBC ASSET MANAGEMENT (AMERICAS) INC., was filed 09/27/1999.

A Certificate of Amendment HSBC ASSET MANAGEMENT (AMERICAS) INC., changing its name to HSBC INVESTMENTS (USA) INC., was filed 02/03/2005.

A Certificate of Amendment HSBC INVESTMENTS (USA) INC., changing its name to HSBC GLOBAL ASSET MANAGEMENT (USA) INC., was filed 08/02/2005.

*Witness my hand and the official seal
of the Department of State at the City
of Albany, this 25th day of October
two thousand and seventeen.*



Brendan W. Fitzgerald
Executive Deputy Secretary of State