

4/24/2018

Division of Corporations

F1800001938

Note: Please print this page and use it as a cover sheet. Type the fax audit number (shown below) on the top and bottom of all pages of the document.

(((H180001293813)))



H180001293813ABCO

Note: DO NOT hit the REFRESH/RELOAD button on your browser from this page. Doing so will generate another cover sheet.

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

From: Account Name : C T CORPORATION SYSTEM
Account Number : FCA000000023
Phone : (614)280-3338
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.

Email Address: _____

FOREIGN PROFIT/NONPROFIT CORPORATION

Charles Schwab Investment Advisory, Inc.

Certificate of Status	0
Certified Copy	1
Page Count	05
Estimated Charge	\$78.75

2018 APR 24 AM 10:44
FILED

2018 APR 24 PM 4:51
RECEIVED

Electronic Filing Menu Corporate Filing Menu

APR 25 2018
J. HARRIS

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. CharlesSchwabInvestmentAdvisory,Inc.
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION," "Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. Delaware 3. 27-1073440
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. 09/28/2009 5. _____
(Date of incorporation) (Date of duration, if other than perpetual)

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

7. 211 Main Street, San Francisco, CA 94105
(Principal office address)

(Current mailing address, if different)

8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: CTCorporationSystem

Office Address: 1200SouthPineIslandRoad

Plantation, Florida 33324
(City) (Zip code)

FILED
2018 APR 24 AM 10:46
TALLAHASSEE FLORIDA

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.

CTCorporationSystem

By: Michele Holden
(Registered agent's signature) Michele Holden, Asst Sect

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.

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

A. DIRECTORS

Chairman: _____
Address: _____

Vice Chairman: _____
Address: _____

Director: William F. Quinn
Address: 211 Main Street
San Francisco, CA 94105

Director: Marlene Bates
Address: 211 Main Street
San Francisco, CA 94105

B. OFFICERS

President: Richard A. Wurster
Address: 211 Main Street
San Francisco, CA 94105


Vice President: Michael E. Gillespie
Address: 211 Main Street
San Francisco, CA 94105

Secretary: R. Scott McMillen
Address: 211 Main Street, San Francisco, CA 94105

Treasurer: William F. Quinn
Address: 211 Main Street, San Francisco, CA 94105

211 APR 24 AM 10:44
RECEIVED
STATE OF CALIFORNIA
DEPARTMENT OF STATE

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

12.  _____
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. Jamal D. Modir, Assistant Corporate Secretary
(Typed or printed name and capacity of person signing application)

Officer and Director Attachment for Charles Schwab Investment Advisory, Inc.

Address for all:
211 Main Street
San Francisco, CA 94105

Directors

Richard A. Wurster

Officers

Richard A. Wurster
Chief Executive Officer

Marlene Bates
Chief Financial Officer

Michael E. Gillespie
Chief Compliance Officer

James R. Egan
Senior Vice President and Corporate Controller

Bryan L. Olson
Senior Vice President and Chief Operating Officer

William F. Quinn
Senior Vice President

Youlanda K. Knighten
Assistant Corporate Secretary

Jamal D. Modir
Assistant Corporate Secretary

Sarah C. Nelson
Assistant Corporate Secretary

FILED
2018 APR 24 AM 10:49
ST. FRANCISCO, CALIF.

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "CHARLES SCHWAB INVESTMENT ADVISORY, 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 TWENTY-FOURTH DAY OF APRIL, A.D. 2018.

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.

FILED
APR 24 2018
SECRETARY OF STATE
DELAWARE



Jeffrey W. Bullock
Jeffrey W. Bullock, Secretary of State

4735430 8300

SR# 20182952722

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

Authentication: 202566883

Date: 04-24-18