

F22000006133

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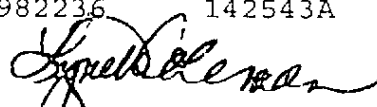
OCT 03 2022

CORPORATION SERVICE COMPANY  
1201 Hays Street  
Tallahassee, FL 32301  
Phone: 850-558-1500

ACCOUNT NO. : I20000000195

REFERENCE : 982236 142543A

AUTHORIZATION :



COST LIMIT : \$ 70.00

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ORDER DATE : September 30, 2022

ORDER TIME : 9:19 AM

ORDER NO. : 982236-005

CUSTOMER NO: 142543A  
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FOREIGN FILINGS

NAME: HARBERT MANAGEMENT CORPORATION

XXXX QUALIFICATION (TYPE: CO)

PLEASE RETURN THE FOLLOWING AS PROOF OF FILING:

\_\_\_\_\_ CERTIFIED COPY  
XX\_\_\_\_\_ PLAIN STAMPED COPY  
\_\_\_\_\_ CERTIFICATE OF GOOD STANDING

CONTACT PERSON: Alexxis Weiland -- EXT#

EXAMINER: \_\_\_\_\_

## COVER LETTER

**TO:** Registration Section  
Division of Corporations

**SUBJECT:** Harbert Management Corporation

Name of corporation - must include suffix

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," or "Certificate of Good Standing" and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Retta Faulkner

Name of Person

Harbert Management Corporation

Firm/Company

2100 Third Avenue North, Suite 600

Address

Birmingham, AL 35203

City/State and Zip code

rfaulkner@harbert.net and swalker@harbert.net

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

S. Perry Given, Jr.

at ( 205 ) 987-5677

Name of Person

Area Code

Daytime Telephone Number

**STREET/COURIER ADDRESS:**

Registration Section  
Division of Corporations  
The Centre of Tallahassee  
2415 N. Monroe Street, Suite 810  
Tallahassee, FL 32303

**MAILING ADDRESS:**

Registration Section  
Division of Corporations  
P.O. Box 6327  
Tallahassee, FL 32314

Enclosed is a check for the following amount:

Please make check payable to: **FLORIDA DEPARTMENT OF STATE**

☐ \$70.00 Filing Fee

☐ \$78.75 Filing Fee &  
Certificate of Status

☐ \$78.75 Filing Fee &  
Certified Copy

☐ \$87.50 Filing Fee,  
Certificate of Status &  
Certified Copy

**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. Harbert Management Corporation  
(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. Alabama 3. 63-1105435  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. 11/04/1993 5. \_\_\_\_\_  
(Date of incorporation) (Date of duration, if other than perpetual)

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

7. 2100 Third Avenue North, Suite 600, Birmingham, AL 35203  
(Principal office street address)

\_\_\_\_\_  
(Current mailing address, if different)

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

Name: Corporation Service Company

Office Address: 1201 Hays Street  
Tallahassee, Florida 32301  
(City) (Zip code)

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**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.*

Corporation Service Company

By: Alexis Weber assistant vice president

(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.

11. For initial indexing purposes, list names, titles and addresses of the primary officers and/or directors (up to six (6) total):

**A. DIRECTORS**

☒ Chairman Name: Raymond J. Harbert  
☐ Vice Chairman Address: 2100 Third Avenue North  
☐ Director Suite 600  
☐ President Birmingham, AL 35203  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☒ Other: Chairman and Chief Executive Officer ☐ Other \_\_\_\_\_

☐ Chairman Name: Charles D. Miller  
☐ Vice Chairman Address: 2100 Third Avenue North  
☐ Director Suite 600  
☐ President Birmingham, AL 35203  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☒ Other Executive Vice President and Global Head of Distribution ☐ Other \_\_\_\_\_

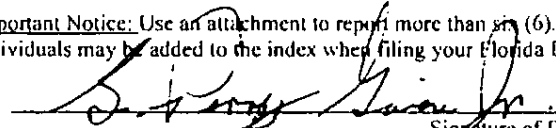
☐ Chairman Name: Raymond J. Harbert, Jr.  
☐ Vice Chairman Address: 2100 Third Avenue North  
☐ Director Suite 600  
☐ President Birmingham, AL 35203  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☒ Other Executive Vice President and Chief Financial Officer ☐ Other \_\_\_\_\_

☐ Chairman Name: J. Travis Pritchett  
☐ Vice Chairman Address: 2100 Third Avenue North  
☐ Director Suite 600  
☒ President Birmingham, AL 35203  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☒ Other President and Chief Operating Officer ☐ Other \_\_\_\_\_

☐ Chairman Name: John W. McCullough  
☐ Vice Chairman Address: 2100 Third Avenue North  
☐ Director Suite 600  
☐ President Birmingham, AL 35203  
☐ Vice President \_\_\_\_\_  
☒ Secretary ☐ Treasurer  
☒ Other Executive Vice President, General Counsel & Secretary ☐ Other \_\_\_\_\_

☐ Chairman Name: John F. Bryant  
☐ Vice Chairman Address: 2100 Third Avenue North  
☐ Director Suite 600  
☐ President Birmingham, AL 35203  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☒ Other Executive Vice President and Senior Managing Director, Absolute Return Strategies ☐ Other \_\_\_\_\_

**Important Notice:** Use an attachment to report more than six (6). The attachment will be imaged for reporting purposes only. Non-indexed individuals may be added to the index when filing your Florida Department of State Annual Report form.

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. S. Perry Given, Jr., Vice President and Associate General Counsel, Harbert Management Corporation  
(Typed or printed name and capacity of person signing application)

State of Florida  
Application by Foreign Corporation for Authorization to Transact Business in Florida

**ATTACHMENT**  
**Harbert Management Corporation**

11. For initial indexing purposes, list names, titles and addresses of the primary officers and/or directors.  
(continued)

NAME	TITLE	BUSINESS ADDRESS
Robert M. Spiller	Senior Vice President and Chief Administrative Officer	2100 Third Ave N Ste 600 Birmingham, AL 35203-3416
S. Perry Given, Jr.	Vice President and Associate General Counsel	2100 Third Ave N Ste 600 Birmingham, AL 35203-3416

John H. Merrill  
Secretary of State

P.O. Box 5616  
Montgomery, AL 36103-5616

# STATE OF ALABAMA

**I, John H. Merrill, Secretary of State of Alabama, having custody of the Great and Principal Seal of said State, do hereby certify that**

the entity records on file in this office disclose that Harbert Management Corporation was formed in Shelby County, Alabama on November 4, 1993. The Alabama Entity Identification number for this entity is 000-160166. I further certify that the records do not disclose that said entity has been dissolved, cancelled or terminated.



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**In Testimony Whereof, I have hereunto set my hand and affixed the Great Seal of the State, at the Capitol, in the city of Montgomery, on this day.**

07/21/2022

Date

A handwritten signature in cursive script that reads "J. H. Merrill".

John H. Merrill

Secretary of State