

F2400000008006

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

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(Business Entity Name)

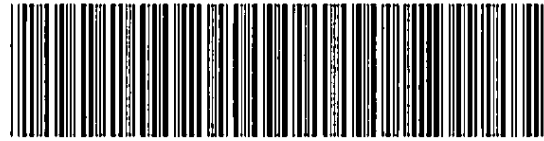
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FILED  
2024 FEB 13 AM 11:24  
SECRETARY OF STATE  
TALLAHASSEE, FL

RECEIVED  
2024 FEB 13 PM 3:16  
TALLAHASSEE, FL

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

ACCOUNT NO. : I20000000195

REFERENCE : 145604 4730518

AUTHORIZATION : 

COST LIMIT : \$70.00

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ORDER DATE : November 22, 2023

ORDER TIME : 1:21 PM

ORDER NO. : 145604-085

CUSTOMER NO: 4730518  
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FOREIGN FILINGS

NAME: OSAIC RIA, INC.

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-sorenson -- EXT#

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

**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. Osaic RIA, 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. 93-4540526  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. 11/21/2023 5. \_\_\_\_\_  
(Date of incorporation) (Date of duration, if other than perpetual)

6. 11/21/2023  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 20 E. Thomas Rd., Suite 2000, Phoenix, AZ 85012  
(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)

**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 Weiland-Jensen, AP

(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]:

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TALLAHASSEE  
SECRETARY OF STATE

**A. DIRECTORS**

☒ Chairman Name: Jamie Price  
☐ Vice Chairman Address: \_\_\_\_\_  
☐ Director 10 Exchange Place, Suite 1410  
☐ President Jersey City, NJ 07302  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☐ Other \_\_\_\_\_ ☐ Other \_\_\_\_\_

☐ Chairman Name: Edward Swenson  
☐ Vice Chairman Address: \_\_\_\_\_  
☒ Director 20 E. Thomas Rd., Suite 2000  
☒ President Phoenix, AZ 85012  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☒ Other COO ☐ Other \_\_\_\_\_

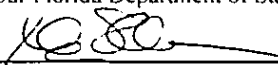
☐ Chairman Name: Greg Cornick  
☐ Vice Chairman Address: \_\_\_\_\_  
☒ Director 20 E. Thomas Rd., Suite 2000  
☐ President Phoenix, AZ 85012  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☐ Other \_\_\_\_\_ ☐ Other \_\_\_\_\_

☐ Chairman Name: Matthew Schlueter  
☐ Vice Chairman Address: \_\_\_\_\_  
☒ Director 2300 Windy Ridge Pkwy, Suite 750  
☐ President Atlanta, GA 30339  
☒ Vice President \_\_\_\_\_  
☐ Secretary ☐ Treasurer  
☐ Other \_\_\_\_\_ ☐ Other \_\_\_\_\_

☐ Chairman Name: David Schmidt  
☐ Vice Chairman Address: \_\_\_\_\_  
☐ Director 20 E. Thomas Rd., Suite 2000  
☐ President Phoenix, AZ 85012  
☐ Vice President \_\_\_\_\_  
☐ Secretary ☒ Treasurer  
☐ Other \_\_\_\_\_ ☐ Other \_\_\_\_\_

☐ Chairman Name: Nina McKenna  
☐ Vice Chairman Address: \_\_\_\_\_  
☐ Director 20 E. Thomas Rd., Suite 2000  
☐ President Phoenix, AZ 85012  
☐ Vice President \_\_\_\_\_  
☒ Secretary ☐ Treasurer  
☐ Other \_\_\_\_\_ ☐ 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. Nina McKenna, Secretary  
(Typed or printed name and capacity of person signing application)

# Delaware

The First State

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I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "OSAIC RIA, 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 NINTH DAY OF FEBRUARY, A.D. 2024.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "OSAIC RIA, INC." WAS INCORPORATED ON THE TWENTY-FIRST DAY OF NOVEMBER, A.D. 2023.

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



2656762 8300

SR# 20240433815

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

A handwritten signature in black ink, appearing to read "JBULLOCK", is written over a horizontal line. Below the line, the text "Jeffrey W. Bullock, Secretary of State" is printed.

Authentication: 202778708

Date: 02-09-24

## Osaic RIA, Inc.

### Officers/Directors

Name	Title	Address
Edward Swenson	Director	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012
Greg Cornick	Director	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012
Matthew Schlueter	Director	2300 Windy Ridge Parkway, Suite 750, Atlanta GA 30339
Edward Swenson	Chief Operations Officer, President	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012
Matthew Schlueter	Executive Vice President	2300 Windy Ridge Parkway, Suite 750, Atlanta GA 30339
Jamie Price	Chairman	10 Exchange Place, Suite 1410, Jersey City, NJ 07302
Iryna Northrip	Chief Compliance Officer	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012
David Schmidt	Treasurer	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012
Melissa Lamarche	Executive Vice President	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012
Kristen Kimmell	Executive Vice President	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012
Nina McKenna	Secretary	20 E Thomas Road, Suite 2000, Phoenix, AZ 85012