

11980000001474

TRANSMITTAL LETTER

To: Qualification/Tax Lien Section  
Division of Corporations

SUBJECT: The Providence Group Investment Advisors, LLC  
(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", 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 follow

Scott B. Laurans

(Name of Person)

The Providence Group Investment Advisors, LLC

(Firm/Company)

1 Turks Head Place, Suite 900

(Address)

Providence, RI 02903

(City/State/Zip)

Should you need to call someone concerning this matter, please call:

Carol Brabant

(Name of Person)

at ( 401 ) 331-6250

(Area Code & Daytime Telephone Number)

**STREET ADDRESS:**

Qualification/Tax Lien Section  
Division of Corporations  
409 E. Gaines St.  
Tallahassee, FL 32399

**MAILING ADDRESS:**

Qualification/Tax Lien Section  
Division of Corporations  
P.O. Box 6327  
Tallahassee, FL 32314

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Name	12-10
Availability	
Document	
Examiner	
Updater	
Updater	
Verifier	
Acknowledgement	
W. P. Verifier	

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TALLAHASSEE, FLORIDA

800002702478--7  
-11/03/98--01068--004  
\*\*\*\*\*78.75 \*\*\*\*\*78.75  
800002702478--7  
-12/03/98--01105--002  
\*\*\*\*\*267.50 \*\*\*\*\*267.50



FLORIDA DEPARTMENT OF STATE

Sandra B. Mortham  
Secretary of State

November 4, 1998

SCOTT B. LAURANS  
1 TURKS HEAD PLACE, SUITE 900  
PROVIDENCE, RI 02903

SUBJECT: THE PROVIDENCE GROUP INVESTMENT ADVISORS, LLC  
Ref. Number: W98000025040

We have received your document for THE PROVIDENCE GROUP INVESTMENT ADVISORS, LLC and your check(s) totaling \$78.75. However, the enclosed document has not been filed and is being returned for the following correction(s):

We are enclosing the proper form(s) with instructions for your convenience.

If you have any questions concerning the filing of your document, please call (850) 487-6020.

Tammi Cline  
Document Specialist

Letter Number: 098A00053815

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TALLAHASSEE, FLORIDA



The Providence Group Investment Advisory Company

INCORPORATED IN THE STATE OF RHODE ISLAND

H. JAMES FIELD, JR.  
SCOTT B. LAURANS

JOSEPHINE H. CARLOS  
DIANA L. JOHNSON

1 TURKS HEAD PLACE, SUITE 900  
PROVIDENCE, RHODE ISLAND 02903-2253  
TELEPHONE (401) 331-6250  
FAX (401) 331-7014

5065 NORTH A1A  
VERO BEACH, FLORIDA 32963  
TELEPHONE (800) 668-6624  
FAX (561) 234-7580

December 2, 1998

Registration Section  
Division of Corporations Registrations  
409 East Gaines Street  
Tallahassee, FL 32399-0350

To whom it may concern:

Enclosed please find the following for the request to register as a foreign limited liability company for The Providence Group Investment Advisors, LLC:

- Original certificate of existence
- Filing fee of \$267.50 (a check for \$78.75 is on deposit with the state)
- Certificate of Designation of Registered Agent
- Affidavit of Membership
- Application

If you require further documentation, please call.

Sincerely yours,

Carol Brabant  
Vice President

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TALLAHASSEE, FLORIDA

Enclosures

Name
Availability
Document
Examiner
Updater
Updater
Verifier
Acknowledgement
W. P. Verifier

# APPLICATION BY FOREIGN LIMITED LIABILITY COMPANY FOR AUTHORIZATION TO TRANSACTION BUSINESS IN FLORIDA

IN COMPLIANCE WITH SECTION 608.503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN LIMITED LIABILITY COMPANY TO TRANSACTION BUSINESS IN THE STATE OF FLORIDA:

1. The Providence Group Investment Advisors, LLC  
(Name of foreign limited liability company must end with the words "limited company" or their abbreviation "L.C." if not so contained in the name at present.)
2. Rhode Island  
(Jurisdiction under the law of which foreign limited liability company is organized)
3. 05-0501194  
(FEI number, if applicable)
4. 10/7/98  
(Date of Organization)
5. Perpetual  
(Duration: Year limited liability company will cease to exist or "perpetual")
6. January 1, 1999 anticipated  
(Date first transacted business in Florida. (See sections 608.501, 608.502, and 317.155, F.S.))
7. 1 Turks Head Place, Suite 900  
Providence, RI 09203  
(Street address of principal office)
8. List name, title, and business address of each managing member[MGRM] or manager[MGR] who will manage the foreign limited liability company in Florida: (attach additional page if necessary)

NAME & ADDRESS:	TITLE:	NAME & ADDRESS:	TITLE:
<u>H. James Field, Jr.</u>	<u>MEM</u> <u>CEO</u>		
<u>1 Turks Head Place, Suite 900</u>			
<u>Providence, RI 09203</u>			

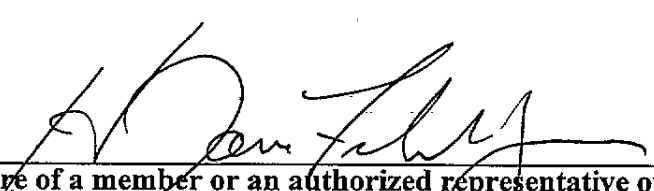
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TALLAHASSEE, FLORIDA

9. Attached is an original certificate of existence, no more than 90 days old, duly authenticated by the Secretary of State or the proper official having custody of records in the state under the law of which it is organized. (A photocopy is not acceptable. If the certificate is in a foreign language, a translation of the certificate under oath of the translator must be submitted.)

**AFFIDAVIT OF MEMBERSHIP AND CONTRIBUTIONS OF FOREIGN  
LIMITED LIABILITY COMPANY**

The undersigned member or authorized representative of a member of The Providence Group  
Investment Advisors, LLC certifies:

- 1) the above named limited liability company has at least one member;
- 2) the total amount of cash contributed by the member(s) is \$2,800,000;
- 3) if any, the agreed value of property other than cash contributed by member(s) is \$ \_\_\_\_\_;  
(A description of the property is attached and made a part hereto.)  
and
- 4) the total amount of cash and property contributed and anticipated to be contributed  
by member(s) is \$2,800,000.  
(This total includes amounts from 2 and 3 above.)

  
\_\_\_\_\_  
**Signature of a member or an authorized representative of a member.**  
(In accordance with section 608.408(3), Florida Statutes, the execution of this  
affidavit constitutes an affirmation under the penalties of perjury that the facts  
stated herein are true.)

\_\_\_\_\_  
H. James Field, Jr.

Typed or printed name of signee

**Filing Fee: \$250.00 for Application and Affidavit**

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**CERTIFICATE OF DESIGNATION OF  
REGISTERED AGENT/REGISTERED OFFICE**

PURSUANT TO THE PROVISIONS OF SECTION 608.415 or 608.507, FLORIDA STATUTES,  
THE UNDERSIGNED LIMITED LIABILITY COMPANY SUBMITS THE FOLLOWING  
STATEMENT TO DESIGNATE A REGISTERED OFFICE AND REGISTERED AGENT IN THE  
STATE OF FLORIDA.

1. The name of the Limited Liability Company is:

The Providence Group Investment Advisors, LLC

2. The name and the Florida street address of the registered agent and office are:

H. James Field, Jr.

(Name)

5065 North AlA

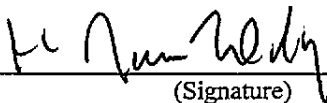
Florida street address (P.O. Box **NOT** ACCEPTABLE)

Vero Beach

FL 32963

City/State/Zip

*Having been named as registered agent and to accept service of process for the above stated limited liability company at the place designated in this certificate, 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 relating to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.*



(Signature)

**Filing Fee: \$ 35 for Designation of Registered Agent**

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TALLAHASSEE, FLORIDA

FILED



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS  
Office of the Secretary of State

*James R. Langevin, Secretary of State*

*The Office of the Secretary of the State of Rhode Island and Providence Plantations, HEREBY CERTIFIES, that*

***The Providence Group Investment Advisors, LLC***

*a Rhode Island Limited Liability Company, filed original articles of organization in this office on the seventh day of October A.D., 1998; and*

*IT IS FURTHER CERTIFIED that said company is now of record and in good standing in this office.*

*SIGNED AND SEALED this twenty-eighth  
day of October A.D., 1998.*

*James R. Langevin*

*Secretary of State*

*BK Delia Antonelli*

