

1.) CORPORATION NAME: Purshe Kaplan Sterling Investments, Inc. 2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: CT CORPORATION SYSTEM 4701 COX ROAD, SUITE 285 GLEN ALLEN, VA 3.) CITY OR COUNTY OF VA REGISTERED OFFICE: HENRICO COUNTY 4.) STATE OR COUNTRY OF INCORPORATION: NY	DUE DATE: 2/28/2014 SCC ID NO: F1538836 5.) STOCK INFORMATION <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">CLASS</td> <td style="width: 50%;">AUTHORIZED</td> </tr> <tr> <td>COMMON</td> <td>200</td> </tr> </table>	CLASS	AUTHORIZED	COMMON	200
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6.) PRINCIPAL OFFICE ADDRESS: ADDRESS: 18 CORPORATE WOODS BLVD CITY/ST/ZIP: ALBANY, NY 12211	
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7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME: PETER J SHEEHAN TITLE: VICE PRESIDENT ADDRESS: 18 CORPORATE WOODS BLVD CITY/ST/ZIP/CO: ALBANY, NY 12211	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR	
NAME: MARY E SHEEHAN TITLE: VICE PRESIDENT ADDRESS: 18 CORPORATE WOODS BLVD CITY/ST/ZIP/CO: ALBANY, NY 12211	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR	
NAME: J PETER PURCELL TITLE: CEO ADDRESS: 18 CORPORATE WOODS BLVD CITY/ST/ZIP/CO: ALBANY, NY 12211	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR	

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

/s/ PETER J SHEEHAN SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PETER J SHEEHAN, VICE PRESIDENT PRINTED NAME AND CORPORATE TITLE	2/4/2014 DATE
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It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.