

**Commonwealth of Kentucky**  
**Alison Lundergan Grimes, Secretary of State**

PARP

0577466

Alison Lundergan Grimes

KY Secretary of State

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Alison Lundergan Grimes  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

**Annual Report  
Online Filing**

**ARP**

**Company:** PURSHE KAPLAN STERLING INVESTMENTS, INC.  
**Company ID:** 0577466  
**State of origin:** New York  
**Formation date:** 1/28/2004 12:00:00 AM  
**Date filed:** 5/28/2014 4:52:07 PM  
**Fee:** \$15.00

**Principal Office**

18 CORPORATE WOODS BLVD.  
ALBANY, NY 12211

**Registered Agent Name/Address**

C T CORPORATION SYSTEM  
306 W MAIN ST  
SUITE 512  
FRANKFORT, KY 40601

**Current Officers**

CEO	J. Peter Purcell	18 CORPORATE WOODS BLVD., NY, 12211, USA
Vice President	Peter E Sheehan	18 CORPORATE WOODS BLVD., NY, 12211, USA

**Signatures**

<b>Signature</b>	J. Peter Purcell
<b>Title</b>	President