



State of Rhode Island and Providence Plantations  
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

Foreign Business Corporation  
Annual Report

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2016

1. Corporate ID No. 000074949

2. Name of Corporation SMBC Capital Markets, Inc.

3. Street Address Principal Business Office:

No. and Street: 277 PARK AVENUE

City or Town: NEW YORK

State: NY

Zip: 10172

Country: USA

4. Business Phone No.

5. State of Incorporation

State: DE

6. Brief Description of the Character of Business Conducted in Rhode Island

LEASING

7. Names and Addresses of the Officers and Directors:

**All officers and directors must be listed.**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	RYOJI SATO	277 PARK AVENUE NEW YHORK, NY 10172 USA
SECRETARY	JANE HUTTA	277 PARK AVENUE NEW YORK, NY 10172 USA
ASSISTANT SECRETARY	HIRO OSHIMA	277 PARK AVENUE NEW YORK, NY 10172 USA
VICE PRESIDENT	YUNSON DU	277 PARK AVENUE NEW YHORK, NY 10172 USA
VICE PRESIDENT	AUGUSTUS MOORE	277 PARK AVENUE

		NEW YHORK, NY 10172 USA
CHAIRMAN	ANTONY YATES	277 PARK AVENUE NEW YHORK, NY 10172 USA
DIRECTOR	YASUHIKO AOSAKA	277 PARK AVENUE NEW YHORK, NY 10172 USA
DIRECTOR	NAOYA MIYAGAKI	277 PARK AVENUE NEW YHORK, NY 10172 USA
DIRECTOR	NOBUYUKI KAWABATA	277 PARK AVENUE NEW YORK, NY 10172 USA
DIRECTOR	JOHN J. HOGAN	277 PARK AVENUE NEW YORK, NY 10172 USA
DIRECTOR	KOICHI NODA	277 PARK AVENUE NEW YORK, NY 10172 USA
DIRECTOR	RYOJI SATO	277 PARK AVENUE NEW YHORK, NY 10172 USA

#### 8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP		\$0.1000	10,000.00	100

**9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.**

**Signed this 1 Day of February, 2016 at 10:47:18 AM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By RYOJI SATO  
Signature of Authorized Representative of the Corporation

Form No. 630  
Revised 09/07

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