

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

Matthew A. Brown, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335 401.222.3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2005

Filing Period: January 1 - March 1 • Filing Fee: \$50.00 (FORM MUST BE TYPED IN BLACK) 2. Name of Corporation 1. Corporate ID No. 74949 SMBC Capital Markets, Inc. State ZIp 3. Street Address Principal Business Office Cin NEW YORK NY 277 PARK AVENUE, 5TH FLOOR 10172 6. SIC Code 4. Bisiness Phone No. 5. State of Incorporation 2122245275 **DELAWARE** 6130 7. Brief Description of the Character of Business Conducted in Rhode Island BENEFICIAL OWNER OF A TRUST WHICH OWNS PROPERTY IN RI. 8. NAMES AND ADDRESSES OF THE OFFICERS ("X" BOX FOR ATTACHMENT) | FILL IN SPACES BEFORE USING ATTACHMENTS President Name Vice President Name · Kenichi Morooka Tetsufumi Fujisawa Street Address Street Address . 277 Park Avenue 277 Park Avenue Zip State ZIP City State City NY 10172 NY New York New York 10172 Treasurer Name ecreiary Name Yuji Hayashi Jane Hutta Sireei Address Street Address . 277 Park Avenue 277 Park Avenue State Zip City City State 210 NY 10172 NY 10172 . New York New York 9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BOX FOR ATTACHMENT) I FILL IN SPACES BEFORE USING ATTACHMENTS Director Name Director Name Tetsufumi Fujisawa 'William Ginn Street Address Street Address 277 Park Avenue 277 Park Avenue Zip State ·City City State Zip NY New York 10172 New York NY 10172 Director Name Director Name Kenichi Morooka Yoshinori Kawamura Sireei Address Street Address 277 Park Avenue 277 Park Avenue .Cirv 1*Zip* Çıty Vare State NY 10172 NY 10172 New York New York II. SHARES ISSUED ("X" BOX FOR ATTACHMENT) 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) ISSUED SHARES AUTHORIZED SHARES Par Value Class/Series Par Value Number of Shares Number of Shares Class/Series .10 Class A 5 10,000 COMM \$.10 PAR VALUE 995 Class B .10 This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

74949 F	BC 08/16/05 0 1.31.65 PM
File Date	3 ILLD
Check No.	AUG 2 9 2005
Ву.	By 1-7810
FOR SECRE	ETARY OF STATE USE ON DUD

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Jane Shuttan	August 17, 2005
Signflure of Officer	Dute
Signification of Officer Jane Hutta	

Print or Type Name of Officer

Secretary

Form 630 12/01

Attachment

to

Profit Corporation Annual Report for the Year 2005

Name of Corporation:

SMBC Capital Markets, Inc.

Corporate ID Number:

74949

Section 9 (continued):

Director Name:

Makoto Takashima

Street Address:

277 Park Avenue

City:

New York

State:

NY

Zip:

10172

Director Name:

Antony Yates

Street Address:

277 Park Avenue

City:

New York

State:

NY

Zip:

10172

Director Name:

Eric Zerof

Street Address:

277 Park Avenue

City:

New York

State:

NY

Zip:

10172

FILED

AUG 2 9 2005

By GML



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS Office of the Secretary of State Matthew A. Brown, Secretary of State

Corporations Division 100 North Main Street Providence, RI 02903-1335 401,222,3040

Form 630 Rev. 12/03

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR _________2004

illing Period: January 1 - FORM MUST BE TYPED OR PI		g Fee: \$50.00			
. Corporate ID No	2. Name of Corporation				
74949	SMBC Capital M	larkets, Inc.	T		Zip
Street Address Principal Busine	277 Par	k Avenue	City New York	State	10172
Business Phone No.		5. State of Incorporation			6. SIC Code
Brief Description of the Charac	14-5275	DELAWARE Rhode Island		 .	6130
BENEFICIAL OWNER	OF A TRUST WHICH C	WNS PROPERTY IN RI.			
NAMES AND ADDRESS	ES OF THE OFFICERS	: ("X" BOX FOR ATTA	. –	ACES BEFORE USING	ATTACHMENTS
rsideni Name Naoyuki	i Kawamoto		Vice President Name		
reel Address	rk Avenue		Street Address		
" New York	State NY	Zip 10172	City	State	Zip
cretary Name		.1	Treasurer Name	l Hayashi	
	Hutta		Street Address		
rcet Address 277 Ро	uk Avenue		שליים בייים	ak Avenue	
" New York	State	10172	City New York	State	10172
NAMES AND ADDRESS	ses of the directo	RS: ("X" BOX FOR ATT	ACHMENT) 💢 FILL IN:	SPACES BEFORE USIN	IG ATTACHMENTS
rector Name Kenichi	Morooka		Director Name Eric	Zerof	
rcet Address	ork Avenue			k Avenue	
New York		Zip 10172	New York	State	1017a
irocior Name Shunta	ro Higashi	, s. . f	Director Name	Takashima	
	rk Avene	-	Sircei Address 277 Pa	, K Avenue	
in .	State	Zip	City	State	1017a
New York	•	10172	New York		, _
 SHARES AUTHORIZE UTHORIZED SHARES 	D ("X" BOX FOR AI	IACHMENI) [11. SHARES ISSUED (*.	K BOX FOR ATTACH	MENI) [
imber of Shares	Class/Series	Par Value	Number of Shares	Class/Series	Par Value
0,000 COMM \$.18 PAR	VALUE SO Cla	ss A 5.00	5	class A	.50
	9950 Cla	ss 995.00	995	class B	99.50
This report must	be signed in ink by eit	her the President, Vice P	resident, Secretary, Assistan	Secretary, Treasurer,	Receiver or Trustee
	<u> </u>				
			Hader peoples of poris	ary, I declare and affirm th	nat I have examined this r
	.7	li		anying schedules and stat	
	· · · · · · · · · · · · · · · · · · ·		contained herein are to		6-
File Date	<u> </u>		llwily	Mowo	3/26/ Date
Check No. 0160	39	_	Signature of Officer		Daic
18			Kenichi Me		
ву:		•	Managing	Director	
FOR SECRETARY O	F STATE USE ONLY	•	Title of Officer	<i>γι</i> , ςς.101	

SMBC Capital Markets, Inc.

Additional Board of Directors:

Director Name:

William Ginn Antony Yates Street Address:

277 Park Avenue, New York, NY 10172 277 Park Avenue, New York, NY 10172

Edward S. Inman, III, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335 401-222-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2003 Filing Period: January 1-March 1 • Filing Fee: \$50.00



•	•	•			
(FORM MUST BE TYPED OR PR			-		
1. Corporate ID No.	2. Name of Corporal				
74949		al Markets, Inc.		_	
3. Street Address Principal Busin			City U	State	Zip
All Pact	1 Aue	# #	New York	W	16172
4. Rusiness Phone No.	C-N	5. State of Incorporation			6. SIC Code
212 - 224- 7. Brief Description of the Chara	S COO	DELAWARE			. 6130
1 ' '	icter of nustriess Conducted to	n knode isiana			
Leases	ECCEC OF THE OFFI	CEDS /AVA BOY TOD ATTA/	COLORED FILLINGDACE	C DEEADE HISINA ATTAC	UMENTO
8. NAMES AND ADDR President Name	ESSES OF THE OFFI	CERS ("A" BOX FOR ALTAC	.IIMEN I) FILL IN SPACE Vice President Name	S BEFORE USING ATTAC	HMEN 15
	Kawamot	-3			
Street Address		U	Street Address		
277 Pa	ak Ap				
City	State	ZIp .	City	State	Zip
New York	NT	10172			
Secretary Name		•	Treasurer Name	***	• • • •
Jane H	utta				
Street Address	Λ _	•	Street Address		
277 Park	Ave				
City U	Siois , 4	10172	City	State	Zip
New 1011	((C)	101/2			
9. NAMES AND ADDR	ESSES OF THE DIRE	CTORS ("X" BOX FOR ATT		CES BEFORE USING ATTA	CHMENTS
Director Name	m. L	•	Director Name	erof	
Street Address	Morooka		Street Address	2004	
277 Par	k Ao			irk Ave	
City City	K Ave	Zip	City	State	Zip
Draw You	k NY	10172	New Yor	K State NY	10172
Director Numer Treaseur	eC.	•	Director Name		
Vasi	Jagash,				
Street Address J	3		Street Address		
277 Park	Ave				
City	State	Zip	City	State	ZIp
New York	10 (10172			
10. SHARES AUTHORI	ZED ("X" BOX FOR ATT	ACHMENT)		("X" BOX FOR ATTACHMENT)
AUTHORIZED SHARES			ISSUED SHARES		
Number of Shares	Class/Serles	Par Value	Number of Shares	Class/Series	Par Value
10,000 COMM \$.10 PAF	R VALUE		, 5	Class A	♦ .10
					•
			<u> </u>	Class B	\$ 10
			: 1 🗢		=

	* 7 4 9 4 9 *
File Date:	4.1803
Check No.:	14753
By:	1(P
FOR SECRETARY	OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and

that all statements contained notein are	true and correct.
1: 1/6	2/28/03
Signature of Office	Date
Yaii Hagashi	
Print or Type Name of Officer	•

lypasurer Title of Officer **4∰** 5

Form 630 12/02



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

Corporations Division 100 North Main Street, Providence, RI 02903-1335 401-222-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2002 Filing Period: January 1-March 1 • Filing Fee: \$50.00

STOP PLEASE READ INSTRUCTIONS

(respect to the transfer to be a	CK)	Ü			
(FORM MUST BE TYPED IN BLA) 1. Corporate ID No.	2. Name of Corporation				
74949		nk Capital Mar	kets Inc		
3. Street Address Principal Business		ink dapitai nar	Gity	State	Zip
277 Park Avenue	-7.		New York	NY	10172
4. Business Phone No.	 -	5. State of Incorporation	I NEW TOTA		6. SIC Code
(212) 224-5000		Delaware			6064
7. Brief Description of the Character	of Business Conducted in Rh	ode Island			
Dealers In Secur	ities				
8. NAMES AND ADDRESS		RS (*X* BOX FOR ATTACE	HMENT) DFILL IN SPACES B	EFORE USING ATTACH	MENTS and the stable (called
President Name			Vice President Name		<u>-</u>
Nacyuki Kau	vamoto				
Street Address			Street Address		
277 Park	Augula.				
277 Park Our York	State	Zip	City	State	Zip
New York	INY	10172			
Secretary Name		· · · · · · · · · · · · · · · · · · ·	Treasurer Name		
Jane HuHa	L		Kenichi M	oroota	
Street Address			Street Address		
New York	Avenue_		277 Part	Avenul	
City	State	Zip		State	Zip
New York	INT	10172	New York	NY	10172.
9. NAMES AND ADDRESS	SES OF THE DIRECT	ORS ("X" BOX FOR ATT/		BEFORE USING ATTAC	HMENTS 是 经净格益率
Director Name	١		Director Name	_ (_	
RYUZZO · KO Street Address	lama	<u> </u>	Natsuo OL	959	
			Street Address	1	
2/1 tart	HUENLE	T	277 Park	TUORING	Zip
277 Park City New York	State	Zip	New York	\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\	(0172
New York	101	10172.	1000		101/4
Director Name			Name Ko	ا ما ماما	
William Gink	\		Street Address	NAMO FO	<u> </u>
Street Address 277 Part Aug	enue		Naoyuki Kac Street Address 277 Part. Cny New York	Avenue	
City	State	Zıp	City	State	Zip
New York	NY	, 0172.	New York	107	10172.
10. SHARES AUTHORIZED	D (*X* BOX FOR ATTACH	MENT)	11. SHARES ISSUED (*)	(* BOX FOR ATTACHMENT)	10 18 19 19 19 19 19 19 19 19 19 19 19 19 19
AUTHORIZED SHARES			ISSUED SHARES		 .,
Number of Shares	Class/Series	Por Value	Number of Shares	Class/Scries	Par Value
50	Class A	. 10	5	class A	10
9, 950	class B	ها ب	995	class B	110
This report must be sign e	ed in ink by either	the President, Vice	President, Secretary, Assis	tant Secretary, Treasur	er, Receiver or Trustce

FILED 70, 17, SE	97 anii
MAR 2 6 2002	
Check No.: 541 282632	À.
TO THE SECURITY OF A CONTROL OF THE SECURITY O	

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

signature of Officer Date

Naoyuki Kawamoto

Prosident

SMBC Capital Markets, Inc.

Additional Board of Directors:

Takao Umino 277 Park Avenue New York, NY 10172

Shinji Sygiyama 277 Park Avenue New York, NY 10172

Yoshio Itaya 277 Park Avenue New York, NY 10172

FROM CORPORATION TRUST 302-655-5049 (MON) 4 9 01 12:39/ST 12:39/NO 4362069278 P PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR iling Period: January 1-March 1 . Filing Fee: \$50.00 FORM MUST BE TYPED IN BLACK! 2. Name of Garparation Sumitomo Bank Capital Markets, Inc. SEATE 1, Speet Address Principal Business Office 1217 NY MULTURA Incorporation 6. SIC Code I. Ausiness Phene No. 217-224-5000 7. Brief Discription of the Charactet of Butiness Conducted in Rhode Island Dealers in securities 8. NAMES AND ADDRESSES OF THE OFFICERS ("X" BOX FOR ATTACHDIENT) FILL IN SPACES BEFORE USING ATTACHDIENTS Fresident Name Joseph Street Address 344 しつころ Treaturer Name Kenicui morooka 50 10173 "New York 2110172 New York " NY 9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BON FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS Natsuo Okada park Auenul TCLIOI VIZ Joseph Brennan park Avenue Succt Address Park Ausnul CIA NEW YORK MY 10177 cin New YORK Sinic NY

11 SHARES ISSUED ("X" BOX FOR ATTACHMENT) 10. SHARES AUTHORIZED (X' FOX FOR ATTACHMENT) 210 BIVE ZEMPE CECNOHITUA Par Value Class/Strict Number of Shares Class, Series

Number of Shares class A

, **10** Class A cless B

This report must be signed in Ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

FILED

	MAR 2 6 2002	
क्षा, म्य इस् ।।	By @ 104 38363	e L
File Date:	· · · · · · · · · · · · · · · · · · ·	Top
Check New		; 5

Under penalty of perjury, I geclare and affirm that I have examined this report, including any accompanying schedules and seatements, and that all of tements contemed hereja are true and correct

Sumitomo Bank Capital Markets, Inc.

Additional Board of Directors:

Norah Hughes 277 Park Avenue New York, NY 10172

Yoshio Itaya 277 Park Avenue New York, NY 10172

Naoyuki Kawamoto 277 Park Avenue New York, NY 10172

FROM CORPORATION TO	RUST 302-655-5	049011.2	(MON) 4 9 01 12	:39/ST_12:39/NO.486	2069278 P 2
Office of the Secretary of	State				401-222-3040
ROFIT CORPO	T 1 ()	NITIAL REP	ORT FOR THE	E YEAR	STOP
ROFIT CORPORING Period: January 1-	RAIION AN March I + Filin	Fee: \$50.00			
ORM MUST BE TYPED IN BLACK	2. Name of Garperation			_	<u></u>
TU949	Sumitomo E	Bank Capital !	Markets, Inc.	520 te	Zie
Sover Address Principal Business Office	" K AULA	سر ا	Vew York	M2 1	6. SIC Code
Sever Address Frincipal Business Office Austries: Phane No.	~~~	S. State of Incorporation	Delaward	ર	
Brief Description of the Character of I	Justiness Conducted in Ahade	lund Olave	as seco	ecities	
MANES AND ADDRESSE	OF THE OFFICERS	EX-BOX POR ATTAC	HOLENT) FILL EN SPACES	SEFORE USING ATLICE	MENTS
			Vice President Name		
Joseph &	er ennan	શ્	Street Address		
on New York	Sun MV	M 10173	City	Sute	21p
			Treasurer Name		****
Estelaiv Name Jane H	utta	•	Kenichi	morooka	
Street Address	ok Bueni	ul	+ رـــ ^ح	park Auenu	Zlg
Clty .	Store NY	119 1017	- Or New Yo	PORK AURNA -K NY CES BEFORE USING ATTA	بر دادا
A MAINTENANT INTO THE PARTY		·			
Byuzo	Kodana	•	Noct	340 01	•
Service Address: 277			31441 244111 3-7-	n pork Au	
on New York	L'un NY	210 10170	_ cio New 7	STK State MY	1017
Director Name	**	** * * * * * * * * * * * * * * * * * * *	Director Name	eph Brenn	
with address and	m Ginn Park Al	18000	Street Address	J bork to	toloud
<i>a</i>		* 10173	- cin New	teara	zip 1017
cin Mew You				O Fix SOX FOX ATTACHHOINT	
10. SHARES AUTHORIZED	CX BOX FOR ATTACH	MENT)	ELIBERE ISSUE	•	Par Value
Number of Shares	Class, Serler	Par idjud	Number of Shares	Class A	,10
_	Class A	10	5 995	class B	, 10
	CIRSS B	, 10-			
This report must be signe	ed in lak by either	the President, Vic	e President, Secretary, A	Assistant Secretary, Treas	urer, Receiver of Trustee
	FILED				
	MAR 26 2002			of perjury, I declare and affir.	m that I have examined
70. mi st i	∼ ∧	5 10 m	and apport inci	name and Accompanying ici	readles and tracements and
411, 1132	DY GINION	30637011	fin that all styteme	nis contenned herein are true	510101
File Date:			Signorfin filestery	IMM -	Date
Chick Me.	· · · · · · · · · · · · · · · · · · ·	- Same	/MF	Joseph Bre	nnan
y+			Profile	dent :	
			1 1 /31/		

Sumitomo Bank Capital Markets, Inc.

Additional Board of Directors:

Norah Hughes 277 Park Avenue New York, NY 10172

Yoshio Itaya 277 Park Avenue New York, NY 10172

Naoyuki Kawamoto 277 Park Avenue New York, NY 10172

ON CORPARATION TRUST SO2-655-5049

(MON) 4. 9°01 12:39/ST 12:39/NO.4862069278 P 12

ROFIT CORPORATION illing Period: January 1-March 1	ANNUAL REPORT FOR THE YEAR 1999 Filing Fee: \$50.00



illing Period: Janua	ary 1-March 1 . Fili	ng Fee: \$50.00				,
FORM MUST BE TYPED IN	BLACK		,			
74949	2. Name of Camparation Sumitomo	Bank Capital	Markets, Inc.	52014	Zig	
, Spreet Address Principal Busi		N	ew York	NY	10175	
1 Austress Phone No.	-K Bulaul	5. State of Incorporation	Delawar	·	6. SIC Code	
ろう	- 294 - 2000					
	rectes of Business Conducted in Ahn	12013	in Secur	;+: e5		
8. NAMES AND ADD	RESES OF THE OFFICER	S (FX" DOX POR ATTAC	Vice President Name	3 BEFORE USING ATLAC	HMENIS	
Josep	h Brennan		Street Address			
Speck Very	Park Aue,	nu.	:	ியம	Zip	
00 New 4	SIN NY	29 1017	City -	,. <u></u>	****	
			Treasurer Name	****		
Estelary Name Sanl	Hutta			eli. Morook		
Street Address	park AUR	nee	2-7-7	park Au	enul	
city Lie a Va	RICK NY	10177	- CH New 1	LOCK NY	ZL101 41Z	_
MANGE PARES	RESSES OF THE DIRECT	ORS ("X" BOX FOR AT	TACHMENT) FILL IN SP.	ACES BEFORE USING ATT	ACHMENTS	
	20 Kodan		No	itsuo okaa		
•	Park AU		_	7 Park AU		
	ork ny		- CO NEW	YORK STATE NY	(1017 S	-
Director Name	*******		Director Fame	seph Brer	n 0 a a	
•	am Ginn	_		•		
_	7 Park Au	·	_	n park p	_	
cin New Y	S-K State NY	きしつつつ	- New 4.	DAK SIMIL NY	10177	_
10. SHARES AUTHO	PETED ON BOX FOR ATTAC		IL SHARES ISSUE	D ("X" BOX FOR ATTACHUS)		
AUTHORIZED SHARES	Class Series	Par Value	Humber of Thurs	Class/Series	Par Value	
Number of Shares	Class A	10F.	5	Cless A	10\$	
9,950	C1235 B	10\$	995	C1472 B	104	
						<u>.</u> .
This report must be	e signed in ink by eithe	r the President, Vic	e President, Secretary,	Assistant Secretary, Trea	surer, Receiver of Irus	. e1
	FILED					

MAR 2 6 2002

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and

chat all spacements gongained here	old Tie Ade and contect
	51910L
Lignaphie of Militaria	Date
J. Wr. Toseph	Brennan
Print of Type Name of Officer	

File Date: .. 12.11.

FOR SECRETARY OF STATE USE ONLY

Sumitomo Bank Capital Markets, Inc.

Additional Board of Directors:

Norah Hughes 277 Park Avenue New York, NY 10172

Yoshio Itaya 277 Park Avenue New York, NY 10172

Naoyuki Kawamoto 277 Park Avenue New York, NY 10172



James R. Langevin, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335 401-277-3040

	•				401-277-3040
PROFIT COR	PORATION	ANNUAL REPO	ORT FOR THE	YEAR 19	98 STOP
Filing Period: Janua	ry 1-March 1 •	Filing Fee: \$50.00			(NATIRE CHONS
(FORM MUST BE TYPED IN E 1. Corporate ID No. THYV	2. Name of Corpora		• · · · · · · · ·		
3. Street Address Principal Busin	SUMITUR Less Office	MO BANK CAPITAL	City	State	Zip
277 PARK	AVENUE		NEW YORK	NY	10172 '6. SIC Code
4. Business Phone No. ! 212) 224 – 50 7. Brief Description of the Chara		S. State of Incorporation DEUTWARK In Rhode Island		·	6001
8. NAMES AND ADDR	ESSES OF THE OFF	FICERS ("X" BOX FOR ATTACHM	(ENT)		
President Name	وروي من المارية		Vice President Name /REA		Λ
MR. 10SHIY	UKI KASHII	МА	MIC. KENICH	11 MOROOK	<i>γ</i> τ
277 PARK AV	ENUE		277 PARK A		
City	State	ZIP	City Nacladae	State N l s /	ziρ 1 / Σ Ι Τ Τ Ζ
NEW YORK Secretary Name	NY	10172	NEW YORK HEW YORK	IN Y	
NON	<i>L</i> .		NAME	310011	
Street Address	-		Street Address	· - · ·- • •	<u>.</u>
City	State	Zip	City	State	Zip
9. NAMES AND ADDR	RESSES OF THE DIF	RECTORS ("X" BOX FOR ATTAC	, HMENT) X , Director Name	• • •	
MR TOSHIYUKI	KASHIMA		MR JOSEPH	BRENNA!	V
277 PARK AV	KNUE		277 PARK A	WENUE	
City	State	Zip	. NEW YORK	State N. l. J	10172
NEW YORK Director Name	ЙĄ	10112	Director Name	· · · · · ·	
MR Ryu26	KODAMA		MR VUJI	HARADA	
277 PARK	AVENUE		277 PARK	AVENUE	
City	State N. L. I	Zip i 🔿 🔿 🥎	City	State N.N. f	10172
New YORK	IZED (*X* BOX FOR AT	10172	NON YORK	N Y 'X" BOX FOR ATTACHI	
AUTHORIZED STARES	IZED (*X* BOX FOR AT	TAGING IT	ISSUED SHARES		- •
Number of Shares	Class/Series	Par Value	Number of Shares	Class/Series	Par Value ,
50	Α	.10/PER SHARE	, 5	Α	10/3/2016.
9,9 <i>5</i> 0	${\mathbb B}$.10/PERSHARK	995	. B	.10/8HARE

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

	8-17-98	
File Date:		
Check No.;	8177	
C		
D	AMF	
Ву:		
COR CCCRETARY	OF STATE HEE ONLY	



James R. Langevin, Secretary of State
Corporations Division
100 North Main Street, Providence, RI 02903-1335
401-277-3040

PROFIT CORPORATION ANNUAL REPORT 1997

Filing Period: Janua	iry 1-March 1 •	Filing Fee: \$50.00			INSTRUCTIONS IULIORI
(FORM MUST BE TYPED IN I		•			COMPLITING THIS FORM
3. Street Address Principal Busin	2. Name of Corporat Sumito	omo Bank Cap -5th Floor	rital Markets	Frc.	Zip 101777
4. Business Phone No.	-5000	5. State of Incorporation		74.1.	6. SIC Code
7. Brief Description of the Chara	icter of Business Conducted in			ties	
	esses of the offi	CERS ("X" BOX FOR ATTACH			
President Name TOShiyuKi Street Address	·Kashima		Vice President Name TOSEPH L Street Address	Brennan	,
277 Park	Ave 5	-15 Floor	277 Park	Ave 5-1	7 Floor
Toshiyuki Street Address 277 Park City New York	State N.Y.	10172	JUSEPH L Street Addiess 277 Park City New York	State N.Y.	10172
Secretary Name			Treasurer Name		
Street Address			Street Address		
City	State	Zip	City	State	Zip
Director Name	esses of the dire	CTORS ("X" BOX FOR ATTA	CHMENT) Director Name		
Street Address 277 Park	Ave - 5 State N.Y.	The Floor	Street Address		•
City NAME Vac	State 11 V	Zip	· City	State	Zip
Director Name	C N'T'	10112	Director Name	• • • • • •	
Street Address			Street Address		
City	State	ZIP	City	State	Zip
10. SHARES AUTHORI AUTHORIZED SHARES	ZED AND ISSUED (*	X° BOX FOR ATTACHMENT)	ISSUED SHARES		
Number of Shares	Class/Series	Par Value	Number of Shares .	Class/Series	Par Value
10,000	Common	#.10/share	995	Class B Ca	mon \$1.10/shore
			5	Closs A Con	nmon \$1.10/shore

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

	Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, an
File Date:	that all statements contained herein are true and correct.
Check No.: 6157	Signature of Officer Date Tashiyuki Kashiona
3r	Print or Type Name of Officer
FOR SECRETARY OF STATE USE ONLY	Title of Offices

FIT CORPORATION SAL REPORT

1996



Print or Type Name of Officer

Title of Officer

State of Knode Island and Providence Plantations James R. Langevin, Secretary of State Corporations Division 100 North Main Street Providence, Rhode Island 02903-1335 • (401) 277-3040

*	4	PLEASE TYPE OR	PRINT IN BLACK INK.		
CORPORATE ID NO.	2. NAME OF CORPORATION				
74949	Cumit	omo Bank Caniba	l Mambaba Tasmo	. DO	
74949 Street address provopal busines		эмо валк саріта.	1 Markets, Inc.**TO	STATE	₹20° 000€
				1	ļ
277 Park Aven	16		New York	New York	10172
USINESS PHONE NO.		5. STATE OF INCORPORATION			6. SIC CODE
212 224-5042		DELAWARI	E		6130
RIEF DESCRIPTION OF THE CHARACTE	R OF BUSINESS CONDUCTED IN RHODE	ISLAHO			6130
*see attached					
	8 . N A	MES AND ADDR	ESSES OF THE OF	FICERS	
SIDENT NAME	()	•	VICE PRESIDENT NAME	 -	· - :
Mr. Kenji Kit	a (C/O SUMITOMO	Bank Cupital MK	. 🚅		
ET ADDRESS			STREET ADDRESS		
277 Park Aven	ne				
	STATE	ZIP CODE	ary	STATE	ZIP CODE
New York	New York	10172			
RETARY MANE			TREASURER NAME	· rado a	
	(CZO Sumitomo B	ank Capital Mkt	s) Mr. Kenichi Mor	ooka(C X O Sumito	mo Bank Capital
EET ADORESS			STREET ADDRESS		
277 Park Aven			277 Park Avenue		
	STATE	<i>∐</i> P C00€	an	STATE	ZIP CODE
New York	New York	10172	New York	New York	10172
	9 . N A	MES AND ADDR	ESSES OF THE DI	RECTORS	
ECTOR NAME		-	DIRECTOR NAME		
*see attached			4		
RET ADDRESS			STREET ADDRESS		
1	STATE	ZP C00€	Eaty	STATE	ZIP 000E
P-P-A-A-A			2000000		
ECTOR NAME			ORECTOR NAME		
SET ADDRESS	·		CINCEL ADDRESS		
EET ADORESS			STREET ADDRESS		
Y	STATE	Zir 000€	- tany	I STATE	. nn cood
	SIAIL	ar work	, during	SIAIE	ZIP CODE
	1 0 . S	HARES AUTHOR	IZED AND ISSUED		
				ISSUED SHARES	· · · · · · · · · · · · · · · · · · ·
	AUTHORIZED SHARES			CLASS / SERIES	PAR VALUE
MUVBER OF SMARES	AUTHORIZED SHARES CLASS / SERIES	PAR VALUE	MUMBER OF SHARES	T	
	CLASS / SERIES				€ 1
MUVBERI OF SHARES		PAR VALUE	995	A	\$1
995	CLASS / SERVES	\$ 1	995	A	
	CLASS / SERIES				\$1 \$1
995	CLASS / SERVES	\$ 1	995	A	
995	CLASS / SERVES	\$ 1	995	A	
995	A B	\$1 \$1	995 5	A B	
995 5	CLASS/SERVES A B	\$1 \$1 is report must be SIO	995 5 GNED IN INK by either th	A B	\$1
995 5	CLASS/SERVES A B	\$1 \$1 is report must be SIO	995 5	A B	\$1
995 5	CLASS/SERVES A B	\$1 \$1 is report must be SIO	5 SNED IN INK by either the stant Secretary, Treasurer Under penalty of	B Be Receiver or Trustee of perjury, I declare and a	\$1
995 5	CLASS/SERVES A B	\$1 \$1 is report must be SIO	5 SNED IN INK by either the stant Secretary, Treasurer Under penalty of report, including	B Receiver or Trustee f perjury. I declare and a any accompanying sche	\$1 offirm that I have examine edules and statements, an
995 5	A B Thresident, Vice President	\$1 \$1 is report must be SIO	5 SNED IN INK by either the stant Secretary, Treasurer Under penalty of report, including	B Be Receiver or Trustee of perjury, I declare and a	\$1 offirm that I have examine edules and statements, an
995 5	A B Thresident, Vice President	\$1 \$1 is report must be SIO	5 5 SNED IN INK by either the stant Secretary, Treasurer Under penalty of report, including all statements of the statement of the statemen	B B Receiver or Trustee of perjury, I declare and a any accompanying sche contained herein are true a	\$1 offirm that I have examine edules and statements, an
995 5	CLASS/SERVES A B	\$1 \$1 is report must be SIO	5 SNED IN INK by either the stant Secretary, Treasurer Under penalty of report, including	B B Receiver or Trustee of perjury, I declare and a any accompanying sche contained herein are true a	\$1 offirm that I have examine edules and statements, an

For Secretary of State Use Only

By:

*7. SBCM's principal trading activities include dealing in interest rate swaps and options and foreign exchange products and its investment activities include leveraged lease transactions, loan participations and other investments which are long-term in nature.

* 9.	S. Tobimatsu	277 Park Avenue, New York, NY 10172	C/O Sumitomo Bank Ltd.
	M. Irie	277 Park Avenue, New York, NY 10172	C/O Sumitomo Bank Ltd.
	A. Kondoh	277 Park Avenue, New York, NY 10172	C/O Sumitomo Bank Ltd.
	A. Kita	277 Park Avenue, New York, NY 10172	C/O Sumitomo Bank Capital Markets
	J. Brennan	277 Park Avenue, New York, NY 10172	C/O Sumitomo Bank Capital Markets
	A. Konishi	4th Floor, Temple Court	C/O SBCM Limited
		11 Queen Victoria Street	
		London EC4N 4TA, U.K.	
	N. Kawamoto	4th Floor, Temple Court	C/O SBCM Limited
		11 Queen Victoria Street	
		London EC4N 4TA, U.K.	
	N. Hughes	277 Park Avenuc, New York, NY 10172	C/O Sumitomo Bank Securities , Inc.
	W. Ginn	277 Park Avenue, New York, NY 10172	C/O Sumitomo Bank Leasing and Finance, Inc.
			•

State of Rhode Island and Providence Plantations Office of The Secretary of State 100 North Main Street Providence, Rhode Island 02903-1335 401-277-3040

ANNUAL REPORT

Please Type or Print File Annually -- Jan. 1 - March 1 Filing Fee \$50.00

Make Checks Payable to: Secretary of State

ALL ENTRIES MUST BE COMPLETED IN FULL OR THE FORM WILL BE RETURNED.

O07494 Corporate ID:	වු			Annual Report for the	1995 vear:	
	Sumitomo	Bank		Markets, Inc	•	
Name of Corporation:						
Business entity organized under the				Business Entity is (
For foreign entity, address and telept 277 Park Avenue	hone number of princ	cipal office	: :		poration (See RIGL Chapter 7-1.1)	
5th Floor				Professional S	Service Corporation (See RIGL Chap	oter 7-5.1)
New York, NY 10172						
Phone: (212) 224-5000					he character of business conducted i of certain equipment h	
					or certain equipment in	
Address and telephone of the princip Island (Provide street address - Not None				Tor rease.		
/ \						
		THE NA	AMES OF TH	HE OFFICERS ARE		
икшин Co-President			STREET ADI	DRESS	CITY/STATE	ZIP CODE
Kenji Kita		277 Pa	ırk Avenue	, 5th Floor	New York, NY	10172
∨। तमकक्रक्रक्र Co-President	-		STREET ADI	DRESS	CITY/STATE	ZIP CODE
John Copenhaver		277 Pa	ark Avenue	, 5th Floor	New York, NY	10172
SECRETARY			STREET ADI	DRESS	CHYSTATE	ZIP CODE
Daoud A. Awad		277 Pa	ark Avenue	e, 5th Floor	New York, NY	10172
TREASURER			STREET ADI	DRESS	CITY/STATE	ZIP CODE
Kenichi Morooka		277 Pa	ark Avenue	e, 5th Floor	New York, NY	10172
		THE NA		E DIRECTORS ARI		
NAME			STREET ADD	DRESS	CITY/STATE	ZIP CODE
See Attached List	-					
NAME			STREET ADD	DRESS	CITY/STATE	ZIP CODE
NAME			STREET ADI	NO LCC	CITY/STATE	ZIP CODE
NAME			SIREELRIA	жело	CHTISTATE	zir copi.
NUMBER OF SHARES AUTHORIZ	ED (Rider may be atta	ched)	_	NUMBER OF SHARES	ISSUED AND OUTSTANDING (Rider	may be attached)
Number of Shares C	Class / Series	,,		Number of Shares	Class / Series	
50 (Class A Commo	on		5	Class A Common	
	Class B Commo			995	Class B Common	
·					4.4 × 44.4 × × × × × × × × × × × × × × ×	
				// // // // // // // // // // // // // 	And it continues	
Date 2/16/95			р	my le las	englome Bank Capital Markets, Inc.	
Date			Ву:		AUL II Commission of the	
			PRINTOR	PENAME OF OFFICER SIGNING	Co President	
Form 31 1/95			TITLE OF OF	FICER SIGNING	Sumitomo Bank Capital Markets	inc.
	DESIGNATEI	REGIS	TERED AGI	ENT FOR SERVICE	OF PROCESS:	

PRENTICE-HALL CORP SYSTEM

170 WESTMINSTER STREET, SUITE 900 PROVIDENCE RI 02903

PLEASE NOTE: If the registered office and/or registered agent indicated below is incorrect, Form 9 must be filed.

FILED

FEB 2 2 1995

By 2) C # 24949

ling Fec \$50.00 iyable to: ecretary of State

February 17

PLEASE TYPE or PRINT

State of Rhode Island and Providence Plantations

Office of The Secretary of State

100 North Main Street Providence. Rhode Island 02903-1335 401-277-3040

File Annually LLC: Sept. 1 - Nov. 1 CORP: Jan. 1 - March 1 225722

	1994
0074949 Corporate ID:	_ Annual Report for the year:
•	DOMITOMO PRINCES OFFICE TO THE TENTE
lame of Business Entity:	The state of the s
Business entity organized under the laws of the State of:	Business Entity is (check one): X Business Corporation (See RIGL Chapter 7-1.1)
	Professional Service Corporation (See RIGE Chapter 7-3.1)
ederal Taxpayer Identification Number:	[] Limited Liability Company (See RIGL 7-10)
For foreign entity, address and telephone number of principal office:	Name, title and mailing address of contact person to whom
One World Trade Center, Suite 9651	communications may be directed:
New York, NY 10048	John Clark, Vice President Sumitomo Bank Capital Markets, Inc.
·	
Phone: (212) 524-8000	One World Trade Center, Suite 9651
	New York, NY 10048
Address and telephone of the principal office of business entity in Rhode Island (Provide street address - Not P.O. Box):	Brief statement of the character of business conducted in Rhode Island:
No office in Rhode Island; Address	Cameral business purposes, including being
	beneficial owner of a trust which owns property in knode Island held for lease.
of Registered Agent presented below.	Date of Organization: December 4, 1986
	Date of Qualification to do business in Rhode Island (if foreign entity):
Phone: () N/A	November 26, 1993
	F THE OFFICERS ARE: ZIP CODE
STREE	T ADDRESS
Akira Kondoh One World Trad	ET ADDRESS CITY/STATE
Managing Director One World Trad	de Center, Ste. 9651 New York, NY 10048
STREET	ET ADDRESS 100/48
Daoud A. Awad One World Trac	CITY/STATE
CHIEF FINANCIAL OFFICER OR LA TREASURER (CARROTTE)	de Center, Ste. 9651 New York, NY 10048
THE NAMES OF	F THE DIRECTORS ARE:
NAME	ELI VOIKESS
	HET ADDRESS CITY/STATE ZIP CODE
NAME	CITY/STATE 7,IP CODE
NAME	EET ADDRESS CITY/STATE
	and the state of t
NUMBER OF SHARES AUTHORIZED (If Applicable)	NUMBER OF SHARES ISSUED AND OUTSTANDING (If Applicable)
0050 Ch	NUMBER 5 Shares 995 Shares
NUMBER 50 Shares 9950 Sh	lates
CLASS Class A Common Class B Comm	non CLASS Class A Common Class B Common
Chisto Cado is Camara	
SERIES	SERIES
NAP VALUE OF	PAR VALUE OR
PAR VALUE OR WITHOUT PAR \$0.10 \$0.10	
	Standol
1	Honar