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State of Rhode Island 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: 2021

1. Corporate ID No. 001661608

2. Name of Corporation BofA Securities, Inc.

3. Street Address Principal Business Office:

No. and Street: ONE BRYANT PARK C/O BOFA SECURITIES

INC.

City or Town: NEW YORK State: NY Zip: 10036Country: USA

4. Business Phone No.

5. State of Incorporation

State: DE

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes <u>here.</u> More information on <u>NAICS</u> can be found online.

523130

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

A FUTURES COMMISSION MERCHANT AND SWAP FIRM

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name	Address		
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country		
PRESIDENT	THOMAS KELL MONTAG	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28255 USA		

TREASURER	WALTER R LOUIS	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28255 USA	
SECRETARY	JENNIFER E BENNETT	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28255 USA	
VICE PRESIDENT	CRYSTAL HOLMAN	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28555 USA	
DIRECTOR	ANDREA B SMITH	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28255 USA	
DIRECTOR	JIM DEMARE	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28255 USA	
DIRECTOR	THOMAS KELL MONTAG	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28255 USA	
DIRECTOR	SOOFIAN J. ZUBERI	401 N TRYON ST NC1-021-06-01 CHARLOTTE, NC 28255 USA	

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares Number of Shares	Total Issued and Outstanding Num of Shares
CWP		\$1.0000	1,000.00	1000
PWP		\$1.0000	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 16 Day of February, 2021 at 10:59:19 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 CRYSTAL HOLMAN

Signature of Authorized Representative of the Corporation

Form No. 630 Revised 09/07

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