



**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: 10036 Country: 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 [here](#). More information on [NAICS](#) 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
PRESIDENT	First, Middle, Last, Suffix THOMAS KELL MONTAG	Address, City or Town, State, Zip Code, Country 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 <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
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