



**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.** 000023473

**2. Name of Corporation** Rothschild & Co US Inc.

**3. Street Address Principal Business Office:**

No. and Street: 1251 AVENUE OF THE AMERICAS

City or Town: NEW YORK

State: NY Zip: 10020 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.

523930

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

BROKER DEALER ENGAGED IN INVESTMENT BANKING CAPITAL MARKETS AND FINANCIAL ADVISORY SERVICES

**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
SECRETARY	JOHN M. CARROLL	1251 AVENUE OF THE AMERICAS

		NEW YORK, NY 10020 USA
VICE PRESIDENT	KATHRYN TAYLOR	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	FARIDAH SHAH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	SCOTT KRONISH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DAVID YI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	YE XIA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ARTHUR SUNDRY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ROBERSON OLIVEIRA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ANDREW MORLEY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JONATHAN LASALA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	THOMAS MCCARTHY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	HO YOUNG KIM	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JOHN KANG	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DOMENICO FORTUNA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DANIEL FLANARY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	GERALD LAURENCEAU	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	EUGENE BORD	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	SUNEET SINGH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	NICHOLAS ROSSY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MATTEO PARENTI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	PAUL LINDEMANN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	BRIAN LEE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	CHARLES JANG	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	CHARLES HUYGHUES- DESPOINTES	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	BENJAMVIN GOLDENBERG	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	PHILIP ENGEL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ARZAN RAIMALWALA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JOSHUA COOPER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

VICE PRESIDENT	SAMUEL KAROTKIN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	KUNAL SHAH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	KERRY DOLCIMASCOLO	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ROBIN KIM	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ROLF ARNOLD	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MICHAEL POERSCHKE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ANDREW SMITH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CHRISTA SCHACKERT	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	HARAKARAN V	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JAMES NEISSA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DANIEL HYAMS	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	LOUIS GANSER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	PAMELA HOLLAND	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SARAH SLAOUI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ALEKSEJ MOSER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ERIN FAHERTY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	GIDEON VOLSCHECK	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	GREG STOLOWITZ	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	VICTOR D'AGATA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JOSHUA MICHAELS	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DUSTIN MONDELL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KUNAL BHALLA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SIMON PRATT	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	VASU PINNAMANENI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MATTHEW CHOU	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL WILCHECK	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	PETER GIALLIAS	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

DIRECTOR	CARLOS TAKANO DE ARAUJO	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JUSTIN KISH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CHARLES KEREZCZ	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MARY KALAMBAY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CHARLES DELO	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JIMMY BONNEAU	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	TRACY FELDMAN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	FEDERICO MENNELLA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JONATHAN HERBST	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL OSTOW	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SUMNER FARREN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SARA COYLE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CHRISTOPHER GAERTNER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KARINA DANILYUK	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ROBERT BERGER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL SPELLER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ERIC HIRSCHFIELD	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	PETER MOSES	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	FRANK LONDON	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DAVID COHEN-MINTZ	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	BRICE LEMONNIER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	AASHIS MEHTA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	PAUL KELPETKO	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DAN SKOLDS	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	HOMER PARKHILL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	STEPHEN ANTINELLI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KEVIN GLODOWSKI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

DIRECTOR	JONATHAN SLAUGHTER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ADAM REEDER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	TIMOTHY HOTCHANDANI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MARCELO MESSER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	LEONARDO LEBRUN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	TERO JANNE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KENNETH SURJADINATA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KEIRAN DORAN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	HUGO DRYLAND	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	WALID KHIARI	1251 AVENUE OF THE AMERICAS NEWYORK, NY 10020 USA
DIRECTOR	SIDDHARTH HARIHARAN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 19808 USA
DIRECTOR	EDYSE VOGEL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MATTHEW SPERLING	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	STEVEN LIPMAN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DAVID BARON	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	YUSIK CHOI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JAMES BEN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JOHN M. CARROLL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 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		\$10.0000	2,000.00	856

**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 23 Day of February, 2021 at 1:35:47 PM. 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 JOHN M. CARROLL  
Signature of Authorized Representative of the Corporation

Form No. 630  
Revised 09/07

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