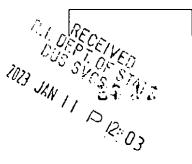


State of Rhode Island
Department of State - Business Services Division

## Application for Certificate of Authority

**FOREIGN Business Corporation** 

→ Filing Fee: \$310.00 minimum



Pursuant to the provisions of <u>RIGL 7-1.2-1405</u>, the undersigned foreign corporation hereby applies for a Certificate of Authority to transact business in the State of Rhode Island, and for that purpose submits the following statement:

1. The name of the corporation is:

SMBC Nikko Securities America, Inc.

2. It is incorporated under the laws of: Delaware

3. The name, if different, which it elects to use in Rhode Island is:

(a) If the name of the corporation in its jurisdiction of incorporation does not contain the word "corporation", "company", "incorporated", or "limited," or an abbreviation thereof, then list the name of the corporation with the addition of one of the above corporate endings for use in Rhode Island:

(b) If the corporate name is not available in Rhode Island, then set forth below the fictitious name under which the corporation will qualify and transact business in Rhode Island as stated in the "Fictitious Business Name Statement" to be filed with this application:

4. The date of its incorporation is: 08/08/1990

And the period of its duration is: CHECK ONE BOX ONLY

Perpetual (on-going)

Date certain for dissolution \_

5. The address of its principal office is:

277 Park Avenue, New York, NY 10172

6. The name and address of the initial registered agent/office in Rhode Island:

Agent Name Corporation Service Company

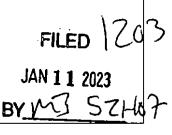
Street Address (NOT a P.O. Box) 222 Jefferson Boulevard, Suite 200

City/Town Warwick

State RHODE ISLAND

Zip Code 02888

MAIL TO: Division of Business Services 148 W. River Street, Providence, Rhode Island 02904-2615 Phone: (401) 222-3040 Website: www.sos.ri.gov



FORM 150 - Revised: 12/2021

7. The purpose or purpo	ses which it proposes to pa	ursue in the transaction o	of business in Rhode Island are:	
Financial services				
8. (a) The names and re state or country of which	spective addresses of its d	irectors (optional, unless	directors are required under the laws of the	
NAME		ADDRESS		
	SEE ATT	SEE ATTACHED		
			Check the box to indicate an attachment 🔽	
<ol> <li>(b) The names and re of the state or country o</li> </ol>	spective addresses of its p f which it is incorporated):	rincipal officers (mandate	ory if directors are not required under the laws	
OFFICE	NAME		ADDRESS	
PRESIDENT		SEE ATTA	ACHED	
VICE PRESIDENT			· · · · · · · · · · · · · · · · · · ·	
TREASURER				
SECRETARY			· · · · · · · · · · · · · · · · · · ·	
	· · · · · · · · · · · · · · · · · · ·	I	Check the box to indicate an attachment	
9. The aggregate numb par value, and series, if		thority to issue; itemized	by classes, par value of shares, shares without	
NUMBER OF SHARES	CLASS	SERIES	PAR VALUE OR STATE NO PAR VALUE	
50	Class A		\$.10	
9950	Class B		\$.10	
10000	Class C		\$.10	
located within this state	during the following year b ever located. (Note: Percer	ears to the value of all pr	e of the property of the corporation to be operty of the corporation to be owned during (sheet.)	
at or from places of bus	iness in Rhode Island durin ration during the following y	ig the following year com	f business to be transacted by the corporation apared to the gross amount thereof which will be obtained from worksheet.)	

SMBC Nikko Securities America, Inc.

## DIRECTORS:

Name	Business Address	
Scott Ashby	277 Park Avenue	
	New York, NY 10172	
Yunson Du	277 Park Avenue	
	New York, NY 10172	
Richard Eisenberg	277 Park Avenue	
	New York, NY 10172	
Akihiro Kawara	277 Park Avenue	
	New York, NY 10172	
Bungo Miura	277 Park Avenue	
	New York, NY 10172	
Anthony Murphy	277 Park Avenue	
	New York, NY 10172	
Natsuhiro Samejima	277 Park Avenue	
	New York, NY 10172	
Toshihiko Umetani	277 Park Avenue	
	New York, NY 10172	

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SMBC Nikko Securities America, Inc.

## **OFFICERS**:

Name	Title	Business Address
	Chief Compliance	277 Park Avenue
Avery Kranz	Officer	New York, NY 10172
Bungo Miura	President & Chairperson	277 Park Avenue New York, NY 10172
Bungo midia		277 Park Avenue
Charles Stietzel	Chief Information Officer	New York, NY 10172
		277 Park Avenue
David Kee	Deputy President	New York, NY 10172
Masahito Nonaka	Doputy Provident	277 Park Avenue
	Deputy President	New York, NY 10172
Richard Eisenberg	Deputy President	277 Park Avenue New York, NY 10172
Takamune		277 Park Avenue
Kanaya	Deputy President	New York, NY 10172
Leanne Mader	Secretary	277 Park Avenue New York, NY 10172
		277 Park Avenue
Peter Sturzinger	Assistant Secretary	New York, NY 10172

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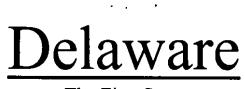
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12. This application must be accompanied by a <u>Certificate of Good Standing/Letter of Status</u> from the state or country of formation dated within 60 days of the date of this filing.				
13. Date when the Certificate of Authority will be effective: CHECK ONE BOX ONLY				
Date received (Upon filing)				
Later effective date (Date must be no more than 90 days from the date of filing)				
Under penalty of perjury, I declare and affirm that I have examined this Application for Certificate of Authority, including any accompanying attachments, and that all statements contained herein are true and correct.				
Type or Print Name of Authorized Officer	Date			
Peter Sturzinger	12/28/2022			
Signature of Authorized Officer of the Corporation	<b>I</b>			

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The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "SMBC NIKKO SECURITIES AMERICA, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE FOURTH DAY OF JANUARY, A.D. 2023.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL REPORTS HAVE BEEN FILED TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "SMBC NIKKO SECURITIES AMERICA, INC." WAS INCORPORATED ON THE EIGHTH DAY OF AUGUST, A.D. 1990.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE BEEN PAID TO DATE.



Authentication: 202419046 Date: 01-04-23

Page 1

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SR# 20230027889 You may verify this certificate online at corp.delaware.gov/authver.shtml State of Rhode Island Department of State | Office of the Secretary of State Gregg M. Amore, Secretary of State

I, GREGG M. AMORE, Secretary of State of the State of Rhode Island,

hereby certify that this document, duly executed in accordance with the provisions

of Title 7 of the General Laws of Rhode Island, as amended, has been filed in this

office on this day:

January 11, 2023 12:03 PM

Treng M. Course

Gregg M. Amore Secretary of State

