



State of Rhode Island

Department of State | Business Services Division

Gregg M. Amore, Secretary of State

June 19, 2023

SMBC Capital Markets, Inc.
c/o PRENTICE-HALL CORP SYSTEM
222 JEFFERSON BOULEVARD, SUITE 200
WARWICK, RI 02888

RE: Entity ID # 000074949
SMBC Capital Markets, Inc.

Dear Sir or Madam:

The Division of Business Services of the Office of the Secretary of State has not received your Annual Report for the year **2023** that was due between February 1 and May 1, 2023.

Pursuant to the provisions set forth in R.I.G.L. 7-1.2-1310 and 7-1.2-1414, the Certificate of Incorporation/Authority of the above-named entity will be revoked after 60 days from the date of this notice for failure to file the Annual Report.

R.I.G.L. 7-1.2-1501(e) states that any corporation failing or refusing to file its annual report for any year within thirty (30) days after the time prescribed by law is subject to a penalty fee of \$25.00. Due to the late filing, the fee for the 2023 annual report is now \$75.00.

The easiest way to complete this filing is to file online at <https://www.sos.ri.gov/divisions/business-services> and pay by credit card. The following unique Customer Identification Number (CID) and PIN are required to file online:

CUSTOMER ID NUMBER (CID):

PIN:

You can also file an Annual Report form in person at 148 West River Street, Providence, RI 02904 or by mail with a check in the amount of \$75.00 made payable to the RI Department of State. The Annual Report form 630 is available for download at the web address listed above. If you have any questions, please contact us at corporations@sos.ri.gov or (401) 222-3040.

Sincerely,

Gregg M. Amore
Secretary of State