



**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: February 1 - May 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 - ENTER THE CURRENT YEAR 2024: 2024

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

NAICS CODE

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	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
CFO	TRACY FIELDMAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
COO	TRACY FIELDMAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ALAN XU	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ALBERT BLANKENSHIP	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ANDREW MORLEY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ANDREW SALAMONE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ANDREW SMITH	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	BENJAMIN GOLDENBERG	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	BERFIN ULUDOGAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	BRIAN LEE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ANTOINE BASSOUL	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	BRIAN REGAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	CHARLES HUYGHUES- DESPOINTES	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	CHARLES SWARTZ	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DANIEL FLANARY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DAVID ADLER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	GERALD LAURENCEAU	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	HO YOUNG KIM	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JARROD BURKE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JEFFREY TSENG	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JENNIFER DING	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

VICE PRESIDENT	JOHN HEIDENREICH	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JOHN KANG	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JOSEPH O	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JULIEN DURAND	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	KEITH KNOBELAUCH	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	KEVIN LUCZAK	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MACY LIVINGSTON	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MICHAEL BERRY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MISCHA MISCHA BEUMER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MO SADIQ	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	NIC SOUPRE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ROBERT SMITH	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ROBERT TALCOTT	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ROGELIO CANALES	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ROLF ARNOLD	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	SCOTT KRONISH	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	STEVE WAEGHE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	SUNEET SINGH	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	WILL DUNGER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ZACHARY DUKOFF	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DAVID KINZLER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DOMENICO FORTUNA	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JAMES NEISSA	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JOHN GRAUSE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

DIRECTOR	JOHN M. CARROLL	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ALEX ILG	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ARTHUR SUNDRY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CARLOS TAKANO DE ARAUJO	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CHRISTA SCHACKERT	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DANIEL HYAMS	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KATHRYN TAYLOR	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KERRY DOLCIMASCOLO	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	LIONEL BLACHE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MATTHEW MYNN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL SUTTER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	PAMELA HOLLAND	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	RYAN OXLEY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	TREVOR JONES	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	TYLER LEUNG	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	VICTOR D'AGATA	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	AASHIS MEHTA	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ADAM REEDER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ALEKSEJ MOSER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ALEX MIRONOW	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ANDREW YEARLEY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	BOB BERRY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CHARLES DELO	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	COLIN CROPPER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

DIRECTOR	DAVID BARON	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DAVID MELL	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	EDYSE VOGEL	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ERIC HIRSCHFIELD	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ERIN FAHERTY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	FRANK LONDON	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	GRANT DRAGAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	GREG HAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	HUGO DRYLAND	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JAIME ARRASTIA	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JAMES BEN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JIMMY BONNEAU	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JONATHAN HERBST	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	JUSTIN KISH	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	KENNETH SURJADINATA	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	LEONARDO LEBRUN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MARCELO MESSER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MARK CONNELLY	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MATTHEW CHOU	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MATTHEW O'DONNELL	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL BUCHBINDER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL OSTOW	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL POERSCHKE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MICHAEL SPELLER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

DIRECTOR	MICHAEL WILCHECK	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	PATRICK MASTAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	PAUL KLEPETKO	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	ROBERT BERGER	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	RYAN GRISWOLD	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SANG SHIN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SARA COYLE	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SARAH SLAOUI	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SID MEHTA	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SIDDHARTH HARIHARAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	STEPHEN ANTINELLI	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	STEVEN LIPMAN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	SUMNER FARREN	12151 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	TIMOTHY HOTCHANDANI	12151 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 1 Day of May, 2024 at 6:48:47 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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