



State of Rhode Island  
Office of the Secretary of State

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

Fee: \$310.00

REC'D RIBOS BSD  
24 JUN 20 PM 1:56:00

**Foreign Corporation**

**Application for Certificate of Authority**

(Section 7-1.2-1405 of the General Laws of Rhode Island, 1956, as amended)

**SECTION I**

The name of the corporation is BMS Capital Advisory, Inc.

**SECTION II**

It is incorporated under the laws of State: DE Country: USA

This Application for Certificate of Authority shall be effective upon filing unless a specified date is provided which shall be no later than the 90th day after the date of this filing

**SECTION III**

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

- (a) If the name of the corporation does not contain the word "corporation", "company", "incorporated", or "limited", or an abbreviation thereof, add one of these corporate endings for use in Rhode Island **OR**  
(b) if the corporation proposes to qualify and transact business under a different name, list that name:

BMS Capital Solutions & Advisory

Note: If option (b) is elected, a Fictitious Business Name Statement (FORM 624A) is required to be filed with this application

**SECTION IV**

The date of its incorporation is 8/12/2013

and the period of its duration is ☒ Perpetual ☐

**SECTION V**

The location of its principal office is

No. and Street: 757 THIRD AVENUE, 22ND FLOOR

City or Town: NEW YORK

State: NY

Zip: 10017

Country: USA

**SECTION VI**

The address of its proposed registered office in Rhode Island is

No. and Street: 222 JEFFERSON BOULEVARD

STE 200

City or Town: WARWICK

State: RI

Zip: 02888

and the name of its proposed registered agent in Rhode Island at that address is CORPORATION SERVICE COMPANY

**SECTION VII**

The purpose or purposes which it proposes to pursue in the transaction of business in Rhode Island are:

PLACEMENTS AS A REGISTERED BROKER-DEALER WITH FINRA.

**SECTION VIII**

(a) The names and respective addresses of its directors (optional unless directors are required under the laws of the state or country of which it is incorporated).

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
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SECRETARY	MICHAEL OCONNELL	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
CEO	ANDRAS BOHM	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
CFO	ONDREJ VESELY	7650 EDINBOROUGH WAY, STE. 600 EDINA, MN 55435 USA
DIRECTOR	ANDREW BUSTILLO	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
DIRECTOR	PETER CHANDLER	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
DIRECTOR	KIRK CONRAD	2651 NORTH HARWOOD STREET, STE. 425 DALLAS, TX 75201 USA
DIRECTOR	KRISTINE WESTALL	7650 EDINBOROUGH WAY, STE. 600 EDINA, MN 55435 USA

(b) The names and respective addresses of its principal officers (mandatory if directors are not required under the laws of the state or country of which it is incorporated).

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
SECRETARY	MICHAEL OCONNELL	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
CEO	ANDRAS BOHM	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
CFO	ONDREJ VESELY	7650 EDINBOROUGH WAY, STE. 600 EDINA, MN 55435 USA
DIRECTOR	ANDREW BUSTILLO	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
DIRECTOR	PETER CHANDLER	757 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10017 USA
DIRECTOR	KIRK CONRAD	2651 NORTH HARWOOD STREET, STE. 425 DALLAS, TX 75201 USA
DIRECTOR	KRISTINE WESTALL	7650 EDINBOROUGH WAY, STE. 600 EDINA, MN 55435 USA

#### SECTION IX

The aggregate number of shares which it has authority to issue, itemized by classes, par value of shares, shares without par value, and series, if any, within a class, is:

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares Num of Shares
CNP			\$0.0000 1,000.00

Signed this 17 Day of June, 2024 at 2:01:41 PM by the officers(s). 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.

By MICHAEL OCONNELL

Signature of Authorized Officer of the Corporation

# Delaware

The First State

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I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THAT "BMS CAPITAL ADVISORY, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE NOT HAVING BEEN CANCELLED OR DISSOLVED SO FAR AS THE RECORDS OF THIS OFFICE SHOW AND IS DULY AUTHORIZED TO TRANSACT BUSINESS.

THE FOLLOWING DOCUMENTS HAVE BEEN FILED:

CERTIFICATE OF INCORPORATION, FILED THE TWELFTH DAY OF AUGUST, A.D. 2013, AT 4:01 O'CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE AFORESAID CERTIFICATE IS THE ONLY PAPER OF RECORD, THE CORPORATION IN QUESTION NOT HAVING FILED AN AMENDMENT NOR HAVING MADE ANY CHANGE WHATSOEVER IN THE ORIGINAL CERTIFICATE AS FILED.

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

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



5382215 8315

SR# 20241561113

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

A handwritten signature in black ink, appearing to read "JBullock", is written over a horizontal line. Below the line, the text "Jeffrey W. Bullock, Secretary of State" is printed in a small font.

Authentication: 203356825

Date: 04-29-24