



**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 2025: 2025

1. Corporate ID No. 001661608

2. Name of Corporation BofA Securities, Inc.

3. Street Address Principal Business Office:

No. and Street: ONE BRYANT PARK

City or Town: NEW YORK

State: NY

Zip: 10036

Country: USA

4. Business Phone No.

312-964-2220

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.

523150

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

INVESTMENT BANKING AND SECURITIES INTERMEDIATION

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
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SECRETARY	COLLEEN O. JOHNSON	ONE BRYANT PARK NEW YORK, NY 10036 USA
CO-CHIEF COMPLIANCE OFFICER/FUTURES COMMISSION MERCHANT	KASHYAP BHATIA	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF COMPLIANCE OFFICER/BROKER-DEALER	KASHYAP BHATIA	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	EDWARD RORY O'KANE	ONE BRYANT PARK NEW YORK, NY 10036 USA
SENIOR VICE PRESIDENT, TAX	FRANK RACANIELLO	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF LEGAL OFFICER	GLEN A RAE	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	JOSEPH A. GUARDINO	ONE BRYANT PARK NEW YORK, NY 10036 USA
ANTI-MONEY LAUNDERING OFFICER	SAMANTHA J. LEVENTHAL	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF OPERATIONS OFFICER	VINCENT SANTANNA	ONE BRYANT PARK NEW YORK, NY 10036 USA
SENIOR VICE PRESIDENT	NATHAN A. BARTH	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	STEPHEN YANKAUER	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	WALTER R. LOUIS	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	DENIS MANELSKI	ONE BRYANT PARK NEW YORK, NY 10036 USA
ASSISTANT SECRETARY	ANDREW S. MARGOLIN	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF COMPLIANCE OFFICER/FUTURES COMMISSION MERCHANT	EDWARD MCLAREN	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	EDWARD MCLAREN	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	ROBERT MUNSEY	ONE BRYANT PARK NEW YORK, NY 10036 USA
DIRECTOR, CHIEF EXECUTIVE OFFICER	SOOFIAN J. ZUBERI	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHAIRMAN OF THE BOARD	SOOFIAN J. ZUBERI	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF FINANCIAL OFFICER/ MANAGING DIRECTOR	FARUQE ALAM	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF COMPLIANCE OFFICER/REGISTERED INVESTMENT ADVISOR	CLAIRE BLISS	ONE BRYANT PARK NEW YORK, NY 10036 USA
ASSISTANT SECRETARY	CHRISTINE M. COSTAMAGNA	ONE BRYANT PARK NEW YORK, NY 10036 USA
TREASURER / MANAGING DIRECTOR	MANAMI ISHII	ONE BRYANT PARK NEW YORK, NY 10036 USA

ASSISTANT SECRETARY	ELIZABETH A. PRYOR	ONE BRYANT PARK NEW YORK, NY 10036 USA
DIRECTOR	SARANG R. GADKARI	ONE BRYANT PARK NEW YORK, NY 10036 USA
DIRECTOR	LAURA CHEPUCAVAGE	ONE BRYANT PARK NEW YORK, NY 10036 USA
DIRECTOR	MATTHEW C. MCQUEEN	ONE BRYANT PARK NEW YORK, NY 10036 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		\$1.0000	1,000.00	1000
PWP		\$1.0000	10,000.00	0

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 29 Day of April, 2025 at 1:38:51 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 NATHAN A. BARTH

Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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