



**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 FILING YEAR **2023: 2023**

1. Corporate ID No. 000024063

2. Name of Corporation MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

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.

5. State of Incorporation

State: DE

ARTICLE III

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.

523120

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

SECURITIES BROKERAGE

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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TREASURER	MANAMI ISHII	ONE BRYANT PARK NEW YORK, NY 10036 USA
SECRETARY	ELIZABETH A. PRYOR	ONE BRYANT PARK NEW YORK, NY 10036 USA
CFO	FARUQE ALAM	ONE BRYANT PARK NEW YORK, NY 10036 USA
ASSISTANT SECRETARY	JENNIFER E. BENNETT	ONE BRYANT PARK NEW YORK, NY 10036 USA
ASSISTANT SECRETARY	CHRISTINE M COSTAMAGNA	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF OPERATIONS OFFICER	JOSEPH A. GUARDINO	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF LEGAL OFFICER	DAVID C. HEATON	ONE BRYANT PARK NEW YORK, NY 10036 USA
MANAGING DIRECTOR	MARCY HINGST	ONE BRYANT PARK NEW YORK, NY 10036 USA
ANTI-MONEY LAUNDERING COMPLIANCE OFFICER	SAMANTHA J. LEVENTHAL	ONE BRYANT PARK NEW YORK, NY 10036 USA
ASSISTANT SECRETARY	ANDREW S MARGOLIN	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF COMPLIANCE OFFICER	DAVID A PISCITELLI	ONE BRYANT PARK NEW YORK, NY 10036 USA
SENIOR VICE PRESIDENT, TAX	FRANK RACANIELLO	ONE BRYANT PARK NEW YORK, NY 10036 USA
CHIEF EXECUTIVE OFFICER/ DIRECTOR	ANDREW M. SIEG	ONE BRYANT PARK NEW YORK, NY 10036 USA
VICE PRESIDENT - TAX	STANDING RESOLUTIONS	ONE BRYANT PARK NEW YORK, NY 10036 USA
ASSISTANT SECRETARY	COLLEEN O. JOHNSON	ONE BRYANT PARK NEW YORK, NY 10036 USA
VICE PRESIDENT	NATHAN A. BARTH	ONE BRYANT PARK NEW YORK, NY 10036 USA
DIRECTOR	LORNA R. SABBIA	ONE BRYANT PARK NEW YORK, NY 10036 USA
DIRECTOR	ARON D. LEVINE	ONE BRYANT PARK NEW YORK, NY 10036 USA
DIRECTOR	KEITH GLENFIELD	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>
PWP		\$25.0000	1,000.00	0

CWP		\$1,000.0000	1,200.00	1000
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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 26 Day of April, 2023 at 12:30:42 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 JASON PROFFITT
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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