

**FOR PROFIT CORPORATION
UNIFORM BUSINESS REPORT (UBR)**

FILED
Apr 21, 2004 8:00 am
Secretary of State

04-21-2004 90029 037 ***158.75

DOCUMENT # 831700

1. Entity Name
HSBC Securities, Inc. (Formerly)
HSBC Securities (USA) Inc.

DO NOT WRITE IN THIS SPACE

94058014

2. Principal Place of Business 452 Fifth Avenue Suite, Apt. #, etc. Tower 7 City & State New York, NY 10018 Zip 10018 Country USA		3. Mailing Address 452 Fifth Avenue Suite, Apt. #, etc. Tower 7 City & State New York, NY 10018 Zip Country	
---	--	---	--

DO NOT WRITE IN THIS SPACE

4. FFI Number 13-2650272		☐ Applied For ☐ Not Applicable	
5. Certificate of Status Desired ☒		\$8.75 Additional Fee Required	

DO NOT WRITE IN THIS SPACE	7. Name and Address of Current Registered Agent		
	Name CT Corporation System		
	Street Address (P.O. Box Number is Not Acceptable) 1200 S. Pine Island Road		
	City Plantation	FL	Zip Code 33324

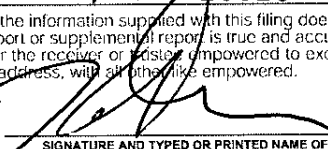
8. The above named entity submits this statement for the purpose of changing its registered office of registered agent, or both, in the State of Florida.

SIGNATURE _____ (NOTE: Registered Agent signature required when reinstating) _____ **DATE** _____

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so. ☐ (See criteria on back)	January 1 - May 1 Fee is \$150.00 After May 1, Fee is \$550.00 Amended UBR is \$61.25 Make Check Payable to Department of State	10. Election Campaign Financing Trust Fund Contribution. ☐ \$5.00 May Be Added to Fees
---	--	---

11. OFFICERS AND DIRECTORS			
TITLE PD NAME Anthony J. Murphy STREET ADDRESS 452 Fifth Avenue CITY-ST-ZIP New York, NY 10018	TITLE NAME STREET ADDRESS CITY-ST-ZIP	DO NOT WRITE IN THIS SPACE	
TITLE T NAME Steven N. Lombardo STREET ADDRESS 452 Fifth Avenue CITY-ST-ZIP New York, NY 10018	TITLE NAME STREET ADDRESS CITY-ST-ZIP		
TITLE AS NAME Ian Kirschner STREET ADDRESS 452 Fifth Avenue CITY-ST-ZIP New York, NY 10018	TITLE NAME STREET ADDRESS CITY-ST-ZIP		
TITLE D NAME Richard G. Coles STREET ADDRESS 452 Fifth Avenue CITY-ST-ZIP New York, NY 10018	TITLE NAME STREET ADDRESS CITY-ST-ZIP		
TITLE D NAME Joseph M. Petri STREET ADDRESS 452 Fifth Avenue CITY-ST-ZIP New York, NY 10018	TITLE NAME STREET ADDRESS CITY-ST-ZIP		
TITLE M NAME Kevin Finnegan STREET ADDRESS 452 Fifth Avenue CITY-ST-ZIP New York, NY 10018	TITLE NAME STREET ADDRESS CITY-ST-ZIP		

13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 11 or on an attachment with an address, with all other like empowered.

SIGNATURE:  **Kevin Finnegan** **04/13/2004** **212-525-5456**

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CR2E034B (12/01)