# 2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

**FILED**
**Apr 10, 2003 8:00 am**
**Secretary of State**
04-10-2003 90122 018 ***150.00

DOCUMENT # 831700

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

| Principal Place of Business | Mailing Address |
|---|---|
| 452 FIFTH AVENUE<br>TOWER 7<br>NEW YORK NY 10018<br>US | 452 FIFTH AVENUE<br>TOWER 7<br>NEW YORK NY 10018<br>US |

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

☐ CHECK HERE IF MAKING CHANGES

4. FEI Number 13-2650272 ☐ Applied For ☐ Not Applicable

5. Certificate of Status Desired ☐ **$8.75** Additional Fee Required

| 6. Name and Address of Current Registered Agent | 7. Name and Address of New Registered Agent |
|---|---|
| CT CORPORATION SYSTEM<br>1200 S. PINE ISLAND ROAD<br>PLANTATION FL 33324 | Name<br>Street Address (P.O. Box Number is Not Acceptable)<br>City **FL** Zip Code |

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. I am familiar with, and accept the obligations of registered agent.

SIGNATURE _____ DATE
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating)

**FILE NOW!!! FEE IS $150.00**
**After May 1, 2003 Fee will be $550.00**
**Make Check Payable to Florida Department of State**

9. Election Campaign Financing Trust Fund Contribution. ☐ **$5.00** May Be Added to Fees

| 10. OFFICERS AND DIRECTORS | | | 11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11 | | |
|---|---|---|---|---|---|
| TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | PD<br>GRIFF, JOHN B<br>452 FIFTH AVENUE<br>NEW YORK NY 10018 | ☒ Delete | TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | CEO/D<br>Anthony J. Murphy<br>452 Fifth Avenue<br>New York, NY 10018 | ☐ Change ☒ Addition |
| TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | T<br>LOMBARDO, STEVEN N<br>452 FIFTH AVENUE<br>NEW YORK NY 10018 | ☐ Delete | TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | D<br>Richard G. Coles<br>452 Fifth Avenue<br>New York, NY 10018 | ☐ Change ☒ Addition |
| TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | SD<br>LOMASCOLO, ANGELO R<br>452 FIFTH AVENUE<br>NEW YORK NY 10018 | ☐ Delete | TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | D<br>Joseph M. Petri<br>452 Fifth Avenue<br>New York, NY 10018 | ☐ Change ☒ Addition |
| TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | D<br>HAROLDSON, JEFFREY D<br>590 MADISON AVENUE<br>NEW YORK NY 10022 | ☐ Delete | TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | D<br>Jeffrey D. Haroldson<br>452 Fifth Avenue<br>New York, NY 10018 | ☒ Change ☐ Addition |
| TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | M<br>FINNEGAN, KEVIN<br>452 FIFTH AVENUE<br>NEW YORK NY 10018 | ☐ Delete | TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | | ☐ Change ☐ Addition |
| TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | AS<br>BURLANT, GAIL A<br>452 FIFTH AVENUE<br>NEW YORK NY 10018 | ☒ Delete | TITLE / NAME / STREET ADDRESS / CITY-ST-ZIP | | ☐ Change ☐ Addition |

12. 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 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

**SIGNATURE:** SIGNATURE REQUIRED Kevin Finnegan 04/07/2003 212-525-5456
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR — Date — Daytime Phone #

CR2E034 (10/02)

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