

2017 FOREIGN PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# 831700

Entity Name: HSBC SECURITIES (USA), INC.

Current Principal Place of Business:

452 FIFTH AVENUE
NEW YORK, NY 10018

Current Mailing Address:

452 FIFTH AVENUE
NEW YORK, NY 10018 US

FEI Number: 13-2650272

Certificate of Status Desired: No

Name and Address of Current Registered Agent:

CT CORPORATION SYSTEM
1200 S. PINE ISLAND ROAD
PLANTATION, FL 33324 US

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.

SIGNATURE:

Electronic Signature of Registered Agent

Date

Officer/Director Detail :

Title COO
Name FLANIGAN, MATTHEW J III
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title SR VICE PRESIDENT
Name GARCIA, JUAN L
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title SR VICE PRESIDENT
Name THACKER, MONIQUE N
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title DIRECTOR
Name MEISSNER, ALEXIS VASQUEZ
Address 8 EAST 40TH STREET
City-State-Zip: NEW YORK NY 10016

Title CFO
Name LOMBARDO, STEVEN
Address 1 WEST 39TH STREET
City-State-Zip: NEW YORK NY 10018

Title EX VICE PRESIDENT
Name IRELAND, ANDREW
Address 452 5TH AVENUE
City-State-Zip: NEW YORK NY 10018

Title DIRECTOR
Name FUTTER, DAVID
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title DIRECTOR
Name PIERCE, GREGORY
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

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I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic 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 above, or on an attachment with all other like empowered.

SIGNATURE: MONIQUE THACKER

VICE PRESIDENT

04/11/2017

Electronic Signature of Signing Officer/Director Detail

Date

Officer/Director Detail Continued :

Title DIRECTOR, PRESIDENT, CEO
Name ROLAND, THIERRY
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title CHIEF COMPLIANCE OFFICER, INVESTMENT
ADVISOR
Name RUGGIERO, JOHN HENRY
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title SECRETARY
Name MEHTA, NIKITA
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title DIRECTOR
Name IRELAND, ANDREW
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title SR VP
Name KRAEBEL, JEFFREY
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title SR VP
Name SULLIVAN, MARILOU
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title CCO
Name MANDL, GEORGE
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title TREASURER
Name WHITE, SUZY
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title CFO
Name LOMBARDO, STEVEN
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title SR VP
Name DITONDO, DIANE
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018

Title SR VP
Name MORELLI, ROBERT
Address 452 FIFTH AVENUE
City-State-Zip: NEW YORK NY 10018