

F100000004053

Florida Department of State
Division of Corporations
Electronic Filing Cover Sheet

Note: Please print this page and use it as a cover sheet. Type the fax audit number (shown below) on the top and bottom of all pages of the document.

(((H10000200312 3)))



H100002003123ABCJ

Note: DO NOT hit the REFRESH/RELOAD button on your browser from this page. Doing so will generate another cover sheet.

To:

Division of Corporations
Fax Number : (850) 617-6381

From:

Account Name : C T CORPORATION SYSTEM
Account Number : FCA000000023
Phone : (850) 222-1092
Fax Number : (850) 878-5368

*Customer is
requesting this
to be rushed
if possible.
thanks*

****Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.****

Email Address: _____

FOREIGN PROFIT/NONPROFIT CORPORATION

NoMura Securities International, Inc.

Certificate of Status	0
Certified Copy	0
Page Count	05
Estimated Charge	\$70.00

RECEIVED
10 SEP -9 PM 4:51
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

1/4

COVER LETTER

TO: New Filing Section
Division of Corporations

SUBJECT: Nomura Securities International, Inc.
Name of corporation - must include suffix

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," or "Certificate of Good Standing" and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Katherine Morton

Name of Person

Nomura Securities International, Inc.

Firm/Company

2 World Financial Center - Building B - 18th Floor

Address

New York, NY 10281

City/State and Zip code

katherine.morton@nomura.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Katherine Morton

at

(212)

667-1372

Name of Person

Area Code & Daytime Telephone Number

STREET/COURIER ADDRESS:

New Filing Section
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, FL 32301

MAILING ADDRESS:

New Filing Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Enclosed is a check for the following amount:

- ☐ \$70.00 Filing Fee ☐ \$78.75 Filing Fee & Certificate of Status ☐ \$78.75 Filing Fee & Certified Copy ☒ \$87.50 Filing Fee, Certificate of Status & Certified Copy

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT
BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. **Monera Securities International, Inc.**
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. **New York** 3. **13-2642206**
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. **9/12/1969** 5. **Perpetual**
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. **N/A**
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. **2 World Financial Center - Bldg. B - New York, NY 10281**
(Principal office address)
2 World Financial Center - Bldg. B - New York, NY 10281
(Current mailing address)

8. **FINRA-Regulated U.S. Broker-Dealer Activities**
(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)

9. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: **CT Corporation System**
Office Address: **1200 South Pine Island Road**
Plantation, Florida **33324**
(City) (Zip code)

10. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.

By:  **Chris McNear**
(Registered agent's signature) **Assistant Secretary**

11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

12. Names and business addresses of officers and/or directors:

A. DIRECTORS

Chairman: Naoki Matsuba

Address: 2 World Financial Center - Bldg. B

New York, NY 10281

Independent

~~XXXXXXXXXX~~ Arthur S. Ainsberg

Director: 2 World Financial Center - Bldg. B

Address: New York, NY 10281

Director: David Findlay

Address: 2 World Financial Center - Bldg. B

New York, NY 10281

Director: _____

Address: _____

B. OFFICERS

CEO:

~~XXXXXXXXXX~~ Naoki Matsuba

Address: 2 World Financial Center - Bldg. B

New York, NY 10281

Vice President: N/A

Address: _____

Asst.

Secretary: Penny Tehrani-Littrell

Address: 2 World Financial Center - Bldg. B -- New York, NY 10281

Treasurer: _____

Address: _____

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13.  9/8/2010

(Signature of Director or Officer listed in number 12 of the application)

14. Penny Tehrani-Littrell - Executive Director & Assistant Secretary

(Typed or printed name and capacity of person signing application)

State of New York
Department of State } ss:

I hereby certify, that the Certificate of Incorporation of NOMURA SECURITIES INTERNATIONAL, INC. was filed on 09/12/1969, with perpetual duration, and that a diligent examination has been made of the Corporate index for documents filed with this Department for a certificate, order, or record of a dissolution, and upon such examination, no such certificate, order or record has been found, and that so far as indicated by the records of this Department, such corporation is an existing corporation.



*Witness my hand and the official seal
of the Department of State at the City
of Albany, this 08th day of September
two thousand and ten.*

A handwritten signature in dark ink, appearing to read "Daniel Shapiro".

Daniel Shapiro
First Deputy Secretary of State