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(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

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CLERK OF STATE
TALLAHASSEE, FLORIDA

AUG 19 2021

M. SOLOMON

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: NatWest Markets Securities 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:

Richard G. McCarty

Name of Person

NatWest Markets Securities Inc.

Firm/Company

600 Washington Boulevard

Address

Stamford, CT 06901

City/State and Zip code

Sherine.Palmer@natwestmarkets.com

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

For further information concerning this matter, please call:

Richard McCarty

at (203) 897-7191

Name of Person

Area Code

Daytime Telephone Number

STREET/COURIER ADDRESS:

Registration Section
Division of Corporations
The Centre of Tallahassee
2415 N. Monroe Street, Suite 810
Tallahassee, FL 32303

MAILING ADDRESS:

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

Enclosed is a check for the following amount:

Please make check payable to: **FLORIDA DEPARTMENT OF STATE**

☐ \$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. NatWest Markets Securities 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. Delaware 3. 13-3172275
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 11/07/1985 5. Perpetual
(Date of incorporation) (Date of duration, if other than perpetual)
6. July 1, 2021
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 600 Washington Boulevard Stamford, CT 06901
(Principal office street address)
- Same
(Current mailing address, if different)
8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)
Name: Corporation Service Company
Office Address: 1201 Hays Street
Tallahassee , Florida 32301
(City) (Zip code)

9. 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.

Anna Garniewski

(Registered agent's signature)

10. 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.

11. For initial indexing purposes, list names, titles and addresses of the primary officers and/or directors [up to six (6) total]:

DEPARTMENT OF STATE
CORPORATION DIVISION

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A. DIRECTORS

☒ Chairman Name: Paul Stevelman
☐ Vice Chairman Address: 600 Washington Boulevard
Stamford, CT 06901
☒ Director
☒ President
☐ Vice President
☐ Secretary ☐ Treasurer
☐ Other ☐ Other

☐ Chairman Name: Michelle Girard
☐ Vice Chairman Address: 600 Washington Boulevard
Stamford, CT 06901
☒ Director
☐ President
☐ Vice President
☐ Secretary ☐ Treasurer
☐ Other ☐ Other

☐ Chairman Name: Casey Spezzano
☐ Vice Chairman Address: 600 Washington Boulevard
Stamford, CT 06901
☒ Director
☐ President
☐ Vice President
☐ Secretary ☐ Treasurer
☐ Other ☐ Other

☐ Chairman Name: James Esposito
☐ Vice Chairman Address: 600 Washington Boulevard
Stamford, CT 06901
☐ Director
☐ President
☐ Vice President
☒ Secretary ☐ Treasurer
☐ Other ☐ Other

☐ Chairman Name: Daniel Amoah
☐ Vice Chairman Address: 600 Washington Boulevard
Stamford, CT 06901
☐ Director
☐ President
☐ Vice President
☐ Secretary ☒ Treasurer
☐ Other ☐ Other

☐ Chairman Name: Richard McCarty
☐ Vice Chairman Address: 600 Washington Boulevard
Stamford, CT 06901
☐ Director
☐ President
☒ Vice President
☐ Secretary ☐ Treasurer
☒ Other Assistant Secretary ☐ Other

Important Notice: Use an attachment to report more than six (6). The attachment will be imaged for reporting purposes only. Non-indexed individuals may be added to the index when filing your Florida Department of State Annual Report form.

12. Richard G. M. Kelly
Signature of Director or Officer

The officer or director signing this document (and who is listed in number 11 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

13. Richard McCarty - Vice President and Assistant Secretary
(Typed or printed name and capacity of person signing application)

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SECRETARY OF STATE
FLORIDA

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ATTACHMENT TO ITEM 11

POSITION

ADDRESS

Director

James Tayler
600 Washington Boulevard
Stamford, CT 06901

Director

Vladimir Golovanov
600 Washington Boulevard
Stamford, CT 06901

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CLERK OF STATE
100 WASHINGTON BLVD
STAMFORD, CT 06901

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "NATWEST MARKETS SECURITIES INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE TWENTY-EIGHTH DAY OF JULY, A.D. 2021.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL REPORTS HAVE BEEN FILED TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "NATWEST MARKETS SECURITIES INC." WAS INCORPORATED ON THE SEVENTH DAY OF NOVEMBER, A.D. 1985.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE BEEN PAID TO DATE.



2075209 8300

SR# 20212823523

You may verify this certificate online at corp.delaware.gov/authver.shtml

A handwritten signature of Jeffrey W. Bullock in black ink, written over a horizontal line. Below the line, the text "Jeffrey W. Bullock, Secretary of State" is printed.

Authentication: 203782478

Date: 07-28-21



FLORIDA DEPARTMENT OF STATE
Division of Corporations

August 12, 2021

RICHARD G. MCCARTY
NATWEST MARKETS SECURITIES INC.
600 WASHINGTON BOULEVARD
STAMFORD, CT 06901

SUBJECT: NATWEST MARKETS SECURITIES INC.
Ref. Number: W21000111740

We have received your document for NATWEST MARKETS SECURITIES INC. and check(s) totaling \$87.50. However, the enclosed document has not been filed and is being returned to you for the following reason(s):

A certificate of existence or a certificate of good standing, dated no more than 90 days prior to the delivery of the application to the Department of State, duly authenticated by the secretary of state or other official having custody of the records in the jurisdiction under the laws of which it is incorporated/organized, must be submitted to this office. A translation of the certificate under oath of the translator must be attached to a certificate which is in a language other than the English language. A photocopy of this certificate is not acceptable.

If you have any questions concerning the filing of your document, please call (850) 245-6051.

Mel Solomon
Senior Section Administrator

Letter Number: 321A00019246

*Rec'd
8/19/21*