

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Jan 28, 2003 8:00 am
Secretary of State

01-28-2003 90084 030 ***158.75

DOCUMENT # P05498

1. Entity Name
HSBC BROKERAGE (USA) INC.



Principal Place of Business
**452 5TH AVENUE
2ND FLR.
NEW YORK NY 10018**

Mailing Address
**452 5TH AVENUE
2ND FLR.
NEW YORK NY 10018**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number **13-5101370**

Applied For

Not Applicable

5. Certificate of Status Desired



\$8.75 Additional
Fee Required

☐ CHECK HERE IF MAKING CHANGES

6. Name and Address of Current Registered Agent

**THE PRENTICE-HALL CORPORATION SYSTEM INC.
1201 HAYS STREET
TALLAHASSEE FL 32301**

7. Name and Address of New Registered Agent

Name

Street Address (P.O. Box Number is Not Acceptable)

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

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

**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

TITLE NAME STREET ADDRESS CITY-ST-ZIP	CEO WEBSTER, GREGORY H 452 5TH AVENUE., 19TH FL 2nd FL NEW YORK NY 10018	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	COO SAMANIEGO, FABIAN 452 5TH AVENUE., 19TH FL 2nd FL NEW YORK NY 10018	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CFO KREBS, KARL 452 5TH AVENUE., 19TH FL 2nd FL NEW YORK NY 10018	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CTO FUREY, THOMAS 452 5TH AVENUE., 19TH FL 2nd FL NEW YORK NY 10018	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SCLO TUNG, GEA 1MARINE MIDLAND CENTER 27TH FLOOR BUFFALO NY 14203	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SD COON, DAVID 1 HSBC PLAZA ROCHESTER NY 14639	<input type="checkbox"/> Delete

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SCLO TUNG, GEA 1 HSBC CENTER 27TH FL BUFFALO NY 14203	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> 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 OF REGISTERED AGENT

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

GREGORY H. WEBSTER CEO

Date

Daytime Phone #

1/15/03 212-585-2960

CR2E034 (10/02)

Attachment # PDS 498
30023520

Attachment to: 2003 Uniform Business Report

Please note: The following names were disclosed in our 2002 Uniform Business Report.

HSBC Brokerage (USA) Inc. – Officers & Directors
P05498

Thomas A. Ruggiero
Sales Director
452 5th Ave. 2nd Floor
New York, NY 10018

Joseph A. Gallino
Assistant Secretary & CCO
452 5th Ave. 2nd Floor
New York, NY 10018

Richard H. Vartabedian
Director
452 5th Ave. 18th Floor
New York, NY 10018

David Fried
Director
452 5th Ave. 22nd Floor
New York, NY 10018