

**Commonwealth of Kentucky**  
**Michael G. Adams, Secretary of State**

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Michael G. Adams  
KY Secretary of State  
Received and Filed

6/21/2023 12:00:00 AM

Fee receipt: \$610.00

Michael G. Adams  
Secretary of State  
P. O. Box 718  
Frankfort, KY 40602-0718  
(502) 564-3490  
<http://www.sos.ky.gov>

**Certificate of Authority**

**RCA**

Pursuant to the provisions of KRS 14A.9 - 030 the undersigned hereby applies for authority to transact business in Kentucky on behalf of the entity named below and, for that purpose, submits the following statements.

1. The business entity is a profit corporation.
2. The name of the entity is: NEWEDGE SECURITIES INC.
3. The name of the entity to be used in Kentucky is (if applicable):
4. It is an entity organized and existing under the laws of the state of Pennsylvania.
5. The date of organization is 12/14/1981 and the period of duration is perpetual

**Principal Office**

1251 Waterfront Place  
Suite 510  
Pittsburgh, PA 15222

**Registered Agent Name/Address**

Sarah F Fong  
KY SECRETARY OF STATE  
700 Capital Avenue  
Frankfort, KY 40601

**Current Officers**

CFO	Joseph Franklin Banco	1251 Waterfront Place, Suite 510, Pittsburgh, PA 15222
President	Kyle P Smith	1251 Waterfront Place, Suite 510, Pittsburgh, PA 15222
Vice President	Sarah Fan Fong	3800 Watt Ave., Suite 147, Sacramento, CA 95821
Vice President	William J Woods	1251 Waterfront Place, Suite 510, Pittsburgh, PA 15222

6. As the Authorized Representative, I declare under penalty of perjury under the laws of the state of Kentucky that the foregoing is true and correct. Sarah F Fong on 6/21/2023

7. As the Registered Agent, I declare under penalty of perjury under the laws of the state of Kentucky that the foregoing is true and correct. Sarah F Fong on 6/21/2023