

SMBC Nikko Capital Markets Limited

Firm Details

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| Firm Name | SMBC Nikko Capital Markets Limited |
| FSP Number | 200053 |
| FSP Date | 17 December 2020 |
| Firm Type | Financial Firms |
| Address | United Arab Emirates, Abu Dhabi, Maryah Island, Office 2445, Level, Al Sila Tower, Abu Dhabi Global Market Square |
| Email | tanaka@smbcnikko-cm.com |
| Phone | +971 586472193 |
| Legal Status | Branch of a Foreign Company |
| Status | Withdrawn |
| Withdrawn Date | 05 October 2024 |

Regulated Activities

| Type | Asset Type | Effective Date | Withdrawn Date |
|-----------------------------------|------------|----------------|----------------|
| Advising on Investments or Credit | | 17 Dec 2020 | 05 Oct 2024 |
| Arranging Deals in Investments | | 17 Dec 2020 | 05 Oct 2024 |

Conditions / Limitations

In accordance with section 30(4)(a) of FSMR, the following limitations and stipulations apply to all Regulated Activities, unless specified otherwise:

- SMBC Nikko Capital Markets Limited is not permitted to hold or control Client Assets
- SMBC Nikko Capital Markets Limited is not permitted to deal with Retail Clients, as defined in the Conduct of Business Rulebook (COBS)

Approved Persons

| Name | Person Reference Number | Role | Status | Effective Start Date | Withdrawn date |
|---------------------------|-------------------------|-------------------------------|-----------|----------------------|----------------|
| Edward Charles Hall Rosu | 00532 | Compliance Officer and MLRO | Withdrawn | 17 Dec 2020 | 05 Oct 2024 |
| Yasuo Tanaka | 00530 | Senior Executive Officer(SEO) | Withdrawn | 17 Dec 2020 | 05 Oct 2024 |
| Mehul Mahendrakumar Desai | 00531 | Finance Officer | Withdrawn | 17 Dec 2020 | 05 Oct 2024 |
| Mehul Mahendrakumar Desai | 00531 | Licensed Director | Withdrawn | 01 Apr 2024 | 05 Oct 2024 |