SMBC Nikko Capital Markets Limited

Firm Details

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Status	Withdrawn			
Withdrawn Date	05 October 2024			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

Туре	Asset Type	Effective Date	Withdrawn Date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Name	Person Reference Number	Role	Status	Effective Start Date	Withdrawn date
Yasuo Tanaka	00530	Senior Executive Officer(SEO)	Withdrawn	17 Dec 2020	05 Oct 2024
Edward Charles Hall Rosu	00532	Compliance Officer and MLRO	Withdrawn	17 Dec 2020	05 Oct 2024
Mehul Mahendrakumar Desai	00531	Finance Officer	Withdrawn	17 Dec 2020	05 Oct 2024
Mehul Mahendrakumar Desai	00531	Licensed Director	Withdrawn	01 Apr 2024	05 Oct 2024