

# SMBC Nikko Capital Markets Limited

## Firm Details

<b>Firm Name</b>	SMBC Nikko Capital Markets Limited
<b>FSP Number</b>	200053
<b>FSP Date</b>	17 December 2020
<b>Firm Type</b>	Financial Firms
<b>Address</b>	United Arab Emirates, Abu Dhabi, Maryah Island, Office 2445, Level, Al Sila Tower, Abu Dhabi Global Market Square
<b>Email</b>	<a href="mailto:tanaka@smbcnikko-cm.com">tanaka@smbcnikko-cm.com</a>
<b>Phone</b>	+971 586472193
<b>Legal Status</b>	Branch of a Foreign Company
<b>Status</b>	Withdrawn
<b>Withdrawn Date</b>	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Type	Asset Type	Effective Date	Withdrawn Date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Name	Person Reference Number	Role	Status	Effective Start Date	Withdrawn date
Edward Charles Hall Rosu	00532	Compliance Officer and MLRO	Withdrawn	17 Dec 2020	05 Oct 2024
Yasuo Tanaka	00530	Senior Executive Officer(SEO)	Withdrawn	17 Dec 2020	05 Oct 2024
Mehul Mahendrakumar Desai	00531	Finance Officer	Withdrawn	17 Dec 2020	05 Oct 2024
Mehul Mahendrakumar Desai	00531	Licensed Director	Withdrawn	01 Apr 2024	05 Oct 2024