

State of Rhode Island
and Providence Plantations
Office of the Secretary of State

A. Ralph Mollis, Secretary of State
Corporations Division
148 W. River Street
Providence, RI 02904-2615
401.222.3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2009

Filing Period: January 1 - March 1 • **Filing Fee:** \$50.00 • **THIS REPORT MUST BE TYPED OR PRINTED LEGIBLY IN BLACK INK.**

* In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501(c&d)) is subject to a penalty fee of \$25.00.

1. Corporate ID No. 131518		2. Name of Corporation MMC SECURITIES CORP.			
3. Street Address Principal Business Office 121 RIVER ST TAX DEPT - 11TH FL			City HOBOKEN	State NJ	ZIP 07030
4. Business Phone No. 201-284-4000		5. State of Incorporation D			
6. Brief Description of the Character of Business Conducted in Rhode Island BROKER DEALER					
7. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name MARK HAPPE			Vice President Name		
Street Address 1166 AVE OF THE AMERICAS			Street Address		
City NEW YORK	State NY	ZIP 10036	City	State	ZIP
Secretary Name MARIANE A LIEBOWITZ			Treasurer Name KIM BLACKMORE		
Street Address 1166 AVE OF THE AMERICAS			Street Address 121 RIVER ST		
City NEW YORK	State NY	ZIP 10036	City HOBOKEN	State NJ	ZIP 07030
8. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name CHI HUM			Director Name JOHN MAXWELL		
Street Address ONE MADISON AVE			Street Address 12421 MEREDITH DR		
City NEW YORK	State NY	ZIP 10036	City URBAN DALE	State IA	ZIP 50398
Director Name LUIS G ORDONEZ			Director Name QUETIN HILL		
Street Address 212 CARNEGIE CENTER			Street Address ONE CALIFORNIA ST		
City PRINCETON	State NJ	ZIP 08540	City SAN FRANCISCO	State CA	ZIP 94111
9. SHARES AUTHORIZED					
10. SHARES ISSUED ("X" BOX FOR ATTACHMENT) ☐					
ISSUED SHARES — THIS SECTION MUST BE COMPLETED					
This information is currently of record in the Office of the Secretary of State. Changes require an additional filing. See Section 9 of instruction sheet.			Number of Shares		Par Value
			930		1.

This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

File Date **FILED**

Check No. **FEB 17 2009**

By: **By 112230**

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature

Date

KIM BLACKMORE

Print or Type Name

TREASURER

Title

MMC Securities Corp.
ID # 131518

Officers and Directors List.

Quentin K. Hills, Director
Chi Hum, Director
Charles C. Ledbetter, Director
Eric S. Levy, Director
John W. Maxwell, Director
Gregory Ordonez, Director
Mark J. Happe, Director
Kim Blackmore, Treasurer
Mariane A. Liebowitz, Corporate Secretary

FILED

FEB 17 2009

By 131518