



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

Fee: \$50.00

Corporations Division
148 W. River Street
Providence, Rhode Island 02904-2615
Telephone: (401) 222-3040

**Foreign Business Corporation
Annual Report**

Filing Period: January 1 - March 1

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.

ANNUAL REPORT YEAR: 2009

1. Corporate ID No. 000123750

2. Name of Corporation RBC Capital Markets Corporation

3. Street Address Principal Business Office:

No. and Street: ONE LIBERTY PLAZA
165 BROADWAY

City or Town: NEW YORK State: NY Zip: 10006 Country: USA

4. Business Phone No.

212-858-7216

5. State of Incorporation

State: MN

6. Brief Description of the Character of Business Conducted in Rhode Island

FULL-SERVICE SECURITIES BROKERAGE

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	MICHAEL R. KAVANAGH	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
SECRETARY	LISA D. LEVEY	165 BROADWAY, 5TH FL NEW YORK, NY 10006 USA
CFO	STEVEN DECICCO	165 BROADWAY NEW YORK, NY 10006 USA
ASSISTANT SECRETARY	ESTHER HELLWIG	165 BROADWAY, 5TH FL NEW YORK, NY 10006 USA
DIRECTOR	JOHN G. TAFT	60 SOUTH SIXTH MINNEAPOLIS, MN 55402 USA
DIRECTOR	MICHAEL R. KAVANAGH	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
DIRECTOR	MARY ZIMMER	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
DIRECTOR	MARK STANDISH	200 VESEY STREET NEW YORK, NY 10281 USA
DIRECTOR	RICHARD J. TAVOSO	200 VESEY STREET NEW YORK, NY 10281 USA
DIRECTOR	BRYAN OSMAR	200 BAY STREET TORONTO, CAN
DIRECTOR	DOUG MCGREGOR	200 BAY STREET TORONTO, CAN
DIRECTOR	GEORGE LEWIS	200 BAY STREET TORONTO, CAN
DIRECTOR	TROY MAXWELL	200 BAY STREET TORONTO, CAN

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP		\$0.13	160,000.00	149118
PWP		\$0.01	100.00	1

9. 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.

Signed this 20 Day of February, 2009 at 3:07:18 PM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By ESTHER S. HELLWIG
Signature of Authorized Representative of the Corporation

ASSISTANT SECRETARY

Title

This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.

Form No. 630
Revised 09/07

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