



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

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Limited Liability Company  
Annual Report**

Filing Period: September 1 - November 1

*In accordance with R.I.G.L. 7-16-66(d), each limited liability company failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-16-66(b&c)) is subject to a penalty fee of \$25.00.*

**ANNUAL REPORT YEAR:** 2011

**1. ID No.** 000557841

**2. Exact Name of the Limited Liability Company** RBC Capital Markets, LLC

**3. State of Formation**

State: MN

**4. Brief Description of the Character of the Business Which is Actually Conducted in Rhode Island**

securities broker/dealer

**5. Principal Office Address**

No. and Street: THREE WORLD FINANCIAL CENTER  
200 VESEY STREET

City or Town: NEW YORK State: NY Zip: 10281 Country: USA

**6. Mailing Address of Limited Liability Company and Name or Title of Contact Person:**

Contact Name: ESTHER HELLWIG Contact Title:

No. and Street: THREE WORLD FINANCIAL CENTER  
200 VESEY STREET, 5TH FLOOR

City or Town: NEW YORK State: NY Zip: 10281 Country: USA

**7. Name and Address of Each Manager of the Limited Liability Company, if Applicable.  
DO NOT LIST MEMBERS**

<b>Title</b>	<b>Individual Name</b> First, Middle, Last, Suffix	<b>Address</b> Address, City or Town, State, Zip Code, Country
MANAGER	DEBORAH FREER	200 VESEY STREET NEW YORK, NY 10281 USA
MANAGER	CLINTON LIVELY	200 VESEY STREET NEW YORK, NY 10281 USA
MANAGER	MARK STANDISH	200 VESEY STREET NEW YORK, NY 10281 USA
MANAGER	RICHARD TAVOSO	200 VESEY STREET NEW YORK, NY 10281 USA
MANAGER	TROY MAXWELL	200 BAY STREET TORONTO, ON M5J 2W7 CAN
MANAGER	DOUGLAS MCGREGOR	200 BAY STREET TORONTO, ON M5J 2W7 CAN
MANAGER	THOMAS SAGISSOR	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
MANAGER	JOHN TAFT	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
MANAGER	CATHLEEN TOBIN	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
MANAGER	MARY ZIMMER	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA

**8. RESIDENT AGENT IN RHODE ISLAND - DO NOT ALTER  
Changes Require Filing of Form 642 - R.I.G.L. 7-16-11**

CORPORATION SERVICE COMPANY 222 JEFFERSON BOULEVARD, SUITE 200 WARWICK , RI 02888

**9. This report must be executed by an authorized person pursuant to R.I.G.L. 7-16-66 (b).**

**Signed this 18 Day of November, 2011 at 11:18:29 AM by the authorized person. 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 company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-16.**

By ESTHER HELLWIG  
Signature of Authorized Person

Form No. 632  
Revised 09/07