



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

**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:** 2012

**1. Corporate ID No.** 000123750

**2. Name of Corporation** RBC Capital Markets Corporation

**3. Street Address Principal Business Office:**

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

City or Town: NEW YORK State: NY Zip: 10281 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.**

<b>Title</b>	<b>Individual Name</b> First, Middle, Last, Suffix	<b>Address</b> Address, City or Town, State, Zip Code, Country
PRESIDENT	JOHN G. TAFT	60 S. SIXTH STREET MINNEAPOLIS, MN 55402 USA
SECRETARY	ESTHER S HELLWIG	200 VESEY STREET NEW YORK, NY 10281 USA
CEO	DEBORAH FREER	200 VESEY STREET NEW YORK, NY 10281 USA
CFO	STEVEN DECICCO	200 VESEY STREET NEW YORK, NY 10281 USA
DIRECTOR	THOMAS SAGISSOR	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
DIRECTOR	CATHLEEN B. TOBIN	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
DIRECTOR	JOHN G. TAFT	60 SOUTH SIXTH MINNEAPOLIS, MN 55402 USA
DIRECTOR	MARK STANDISH	200 VESEY STREET NEW YORK, NY 10281 USA
DIRECTOR	MARY ZIMMER	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
DIRECTOR	DOUG MCGREGOR	200 BAY STREET TORONTO, CAN
DIRECTOR	TROY MAXWELL	200 BAY STREET TORONTO, CAN
DIRECTOR	DEBORAH FREER	200 VESEY STREET NEW YORK, NY 10281 USA
DIRECTOR	CLINTON LIVELY	200 VESEY STREET NEW YORK, NY 10281 USA
DIRECTOR	RICHARD J. TAVOSO	200 VESEY STREET NEW YORK, NY 10281 USA

#### 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		\$0.1250	160,000.00	152708
PWP		\$0.0100	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 23 Day of July, 2012 at 4:26:29 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

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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