



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS  
 Office of the Secretary of State - Division of Business Services  
 148 W. River Street, Providence, Rhode Island 02904-2615  
 Phone: (401) 222-3040 ~ Email: corporations@sos.ri.gov ~ Website: www.sos.ri.gov

# PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR **2013**

Filing Period: January 1 - March 1 • This report must be typed or printed legibly.

Filing Fee: \$50.00 • FAILURE TO FILE THIS REPORT BY MARCH 31 WILL RESULT IN A \$25.00 PENALTY FEE.

1. Entity ID No. <b>000150398</b>		2. Exact name of the Corporation <b>Apex Clearing Corporation</b>			
3. Principal office address <b>1700 Pacific Ave., Suite 1400</b>			City <b>Dallas</b>	State <b>TX</b>	Zip <b>75201</b>
4. Business Phone No. <b>214-765-1100</b>			5. State of Incorporation <b>New York</b>		
6. Brief description of the character of business conducted in Rhode Island <b>Financial Services</b>					
<b>7. LIST ALL OFFICERS (NAMES AND ADDRESSES) ("X" BOX FOR ATTACHMENT) <input type="checkbox"/></b>					
President Name <b>Peter Lawler</b>			Vice-President Name <b>None</b>		
Street Address <b>1700 Pacific Ave., Suite 1400</b>			Street Address		
City <b>Dallas</b>	State <b>TX</b>	Zip <b>75201</b>	City	State	Zip
Secretary Name <b>Donna MacDonald</b>			Treasurer Name <b>Michael Chochon</b>		
Street Address <b>1700 Pacific Ave., Suite 1400</b>			Street Address <b>1700 Pacific Ave., Suite 1400</b>		
City <b>Dallas</b>	State <b>TX</b>	Zip <b>75201</b>	City <b>Dallas</b>	State <b>TX</b>	Zip <b>75201</b>
<b>8. LIST ALL DIRECTORS (NAMES AND ADDRESSES) ("X" BOX FOR ATTACHMENT) <input type="checkbox"/></b>					
Director Name <b>Daniel Rosenthal</b>			Director Name <b>Brian Duggan</b>		
Street Address <b>1700 Pacific Ave., Suite 1400</b>			Street Address <b>1700 Pacific Ave., Suite 1400</b>		
City <b>Dallas</b>	State <b>TX</b>	Zip <b>75201</b>	City <b>Dallas</b>	State <b>TX</b>	Zip <b>75201</b>
Director Name <b>Peter Lawler</b>			Director Name <b>None</b>		
Street Address <b>1700 Pacific Ave., Suite 1400</b>			Street Address		
City <b>Dallas</b>	State <b>TX</b>	Zip <b>75201</b>	City	State	Zip
<b>9. SHARES AUTHORIZED</b>			<b>10. SHARES ISSUED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/></b>		
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	CLASS/SERIES	PAR VALUE
			None		

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 \_\_\_\_\_

Check No. \_\_\_\_\_

By: \_\_\_\_\_

FOR SECRETARY OF STATE USE ONLY

**FILED**

**MAR 11 2013**

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.

Daniel Rosenthal 2/28/13  
 Signature of Authorized Representative Date

**Daniel Rosenthal**

Print or Type Name of Authorized Representative

By [Signature]  
 # 2144