



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: 2013

1. ID No. 000306119

2. Exact Name of the Limited Liability Company Credit Suisse Securities (USA) LLC

3. State of Formation

State: DE

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

Broker Dealer

5. Principal Office Address

No. and Street: 11 MADISON AVENUE  
C/O CORP TAX DEPT

City or Town: NEW YORK State: NY Zip: 10010 Country: USA

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

Contact Name: DANA VASQUEZ Contact Title: TAX CLERK

No. and Street: 11 MADISON AVENUE  
8 FLOOR

City or Town: NEW YORK State: NY Zip: 10010 Country: USA

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

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
MANAGER	TIMOTHY OHARA	11 MADISON AVENUE NEW YORK, NY 10010 USA
MANAGER	CARLOS ONIS	11 MADISON AVENUE NEW YORK, NY 10010 USA
MANAGER	LEWIS WIRSHBA	11 MADISON AVENUE NEW YORK, NY 10010 USA
MANAGER	ROBERT SHAFIR	11 MADISON AVENUE

MANAGER	STEPHEN MCMORRAN	NEW YORK, NY 10010 USA 11 MADISON AVENUE NEW YORK, NY 10010 USA
MANAGER	EDMUND TAYLOR	11 MADISON AVENUE NEW YORK, NY 10010 USA
MANAGER	LARA WARNER	11 MADISON AVENUE NEW YORK, NY 10010 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 7 Day of February, 2014 at 3:29:17 PM 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 DOUGLAS ROSEMAN  
Signature of Authorized Person

Form No. 632  
Revised 09/07