



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: 2014

1. Corporate ID No. 000023473

2. Name of Corporation Rothschild Inc.

3. Street Address Principal Business Office:

No. and Street: 1251 AVENUE OF THE AMERICAS

City or Town: NEW YORK

State: NY Zip: 10020 Country: USA

4. Business Phone No.

5. State of Incorporation

State: DE

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

BROKER DEALER ENGAGED IN INVESTMENT BANKING, CAPITAL MARKETS AND FINANCIAL ADVISORY SERVICES

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
VICE PRESIDENT	MARC A. STRAUSS	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	SIMON A. PRATT	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	J. DAVID ENRIQUEZ	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	QUINCY EVANS	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA

VICE PRESIDENT	VINOD CHANDIRAMANI	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MATTHEW CHOU	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
MANAGING DIRECTOR	JOHN CARROLL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JAY JOHNSON	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	VIKRAM JINDAL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	IMRAN HAMEED	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	INDY FLORE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
MANAGING DIRECTOR	ROBERT BICKNESE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	WILLIAM L. WHITE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DAVID COHEN-MINTZ	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	CARLOS A. UREUETA	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JUSTIN A. SINGH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR & VICE CHAIRMAN	ROGER H KIMMEL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ALEXANDAR SVOYSKIY	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	ORI D. WINITZER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR & CEO	JAMES A. LAWRENCE	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	MONALIE JOHNSON	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	SUNIL SACHAN	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	JONATHAN WOBER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	DAVID RUAH	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
VICE PRESIDENT	PAUL-EMMANUEL PRUNET	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	DUSTIN MONDELL	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	AUDREY KIRDAR	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	MARCELO MESSER	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 USA
DIRECTOR	CHRISTA SHACKERT	1251 AVENUE OF THE AMERICAS NEW YORK, NY 10020 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		\$10.0000	2,000.00	856

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 25 Day of February, 2014 at 9:04:22 AM. *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 JAMES A. LAWRENCE
Signature of Authorized Representative of the Corporation

DIRECTOR & CEO
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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