



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: 2016

1. Corporate ID No. 000794388

2. Name of Corporation Topeka Capital Markets Inc.

3. Street Address Principal Business Office:

No. and Street: 40 WALL STREET, SUITE 1702

City or Town: NEW YORK

State: NY Zip: 10005 Country: USA

4. Business Phone No.

212 709 5706

5. State of Incorporation

State: DE

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

Topeka Capital Markets is a full-service broker-dealer offering agency-only trading of domestic and international equities for a wide range of institutional investors. Our talented team of traders, sales traders, and research analysts has an average of nearly 15 years of experience. Each member of our team shares Topeka's commitment to delivering extraordinary service and exceptional results for our clients.

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
CEO	MICHAEL JACKSON	40 WALL STREET, STE 1702 NEW YORK, NY 10005 USA
COO	PETER HERBERT	40 WALL STREET, STE 1702

		NEW YORK, NY 10005 USA
MANAGING DIRECTOR	SYLVESTER MCCLEARN	40 WALL STREET SUITE 1702 NEW YORK, NY 10005 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>
STK	A	\$0.0000	11,375.00	0
STK	B	\$0.0100	8,997.00	0
STK	C	\$0.0100	970.00	0

**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 21 Day of December, 2015 at 3:08:53 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 PETER C. HERBERT.  
Signature of Authorized Representative of the Corporation

**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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