



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: 2016

1. ID No. 000789149

2. Exact Name of the Limited Liability Company BNY Mellon Capital Markets, LLC

3. State of Formation

State: DE

ARTICLE III

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code

6

42

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

PROVIDES FULL-SERVICE BROKER/DEALER SERVICES, INCLUDING UNDERWRITING, TRADING AND DISTRIBUTING SECURITIES FOR BOTH ISSUERS AND INSTITUTIONAL AND HIGH NET WORTH INVESTORS.

5. Principal Office Address

No. and Street: 225 LIBERTY STREET

City or Town: NEW YORK

State: NY

Zip: 10286

Country: USA

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

Contact Name: Contact Title:

No. and Street: 225 LIBERTY STREET

City or Town: NEW YORK

State: NY

Zip: 10286

Country: USA

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

Title	Individual Name	Address
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	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country
MANAGER	TIMOTHY DONOVAN	225 LIBERTY STREET NEW YORK, NY 10286 USA
MANAGER	C. DELANEY GARDINER	225 LIBERTY STREET NEW YORK, NY 10286 USA
MANAGER	JOHN M. GAVIN JR.	225 LIBERTY STREET NEW YORK, NY 10286 USA
MANAGER	DANIEL KLINGER	225 LIBERTY STREET NEW YORK, NY 10286 USA
MANAGER	CHRISTOPHER JACOBS	225 LIBERTY STREET NEW YORK, NY 10286 USA
MANAGER	GARY M. STRUMEYER	225 LIBERTY STREET NEW YORK, NY 10286 USA
MANAGER	JEFFREY S. GEARHART	225 LIBERTY STREET NEW YORK, NY 10286 USA
MANAGER	JEAN DEREK PENN	225 LIBERTY STREET NEW YORK, NY 10286 USA

**8. RESIDENT AGENT IN RHODE ISLAND - DO NOT ALTER
Changes Require Filing of Form 642 - R.I.G.L. 7-16-11**

CT CORPORATION SYSTEM 450 VETERANS MEMORIAL PARKWAY, SUITE 7A EAST
PROVIDENCE , RI 02914

9. This report must be executed by an authorized person pursuant to R.I.G.L. 7-16-66 (b).

Signed this 28 Day of September, 2016 at 6:10:59 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 KELLY LETTMANN
Signature of Authorized Person

Form No. 632
Revised 09/07