



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. 000132941

2. Exact Name of the Limited Liability Company Wells Fargo Securities, 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 52

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

SECURITIES UNDERWRITER AND BROKER/DEALER

5. Principal Office Address

No. and Street: 301 SOUTH COLLEGE STREET

City or Town: CHARLOTTE

State: NC

Zip: 28288

Country: USA

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

Contact Name: Contact Title:

No. and Street: 301 SOUTH COLLEGE STREET

City or Town: CHARLOTTE

State: NC

Zip: 28288

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 SLOAN	301 SOUTH COLLEGE STREET CHARLOTTE, NC 28288 USA
MANAGER	JON WEISS	301 SOUTH COLLEGE STREET

		CHARLOTTE, NC 28288 USA
MANAGER	ROBERT ENGEL	301 SOUTH COLLEGE STREET CHARLOTTE, NC 28288 USA
MANAGER	JOHN SHREWSBERRY	301 SOUTH COLLEGE STREET CHARLOTTE, NC 28288 USA
MANAGER	RYAN ZANIN	301 SOUTH COLLEGE STREET CHARLOTTE, NC 28288 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 13 Day of October, 2016 at 11:21:14 AM 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 BEVERLY JACKSON
Signature of Authorized Person

Form No. 632
Revised 09/07

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