



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. 001658659

2. Exact Name of the Limited Liability Company Capital One Investing, LLC

3. State of Formation

State: WA

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

FINRA REGULATED REGISTERED BROKER-DEALER THAT PROVIDES ONLINE RETAIL BROKERAGE SERVICE.

5. Principal Office Address

No. and Street: 83 SOUTH KING STREET

City or Town: SEATTLE

State: WA

Zip: 98104

Country: USA

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

Contact Name: Contact Title:

No. and Street: 1680 CAPITAL ONE DRIVE

C/O SARAH OKEIFF, CORPORATE GOVERNANCE

City or Town: MCLEAN

State: VA Zip: 22102 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	GARRETT SILVER	83 SOUTH KING STREET

		SEATTLE, WA 98104 USA
MANAGER	YVETTE BUTLER	83 SOUTH KING STREET SEATTLE, WA 98104 USA
MANAGER	JEFFERY SILLS	83 SOUTH KING STREET SEATTLE, WA 98104 USA
MANAGER	MATTHEW D. MCARTHUR	83 SOUTH KING STREET SEATTLE, WA 98104 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 14 Day of October, 2016 at 3:02:39 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 A. LEDMAN
Signature of Authorized Person

Form No. 632
Revised 09/07

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