



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. 000557841

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

3. State of Formation

State: MN

ARTICLE III

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

NAICS Code

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

SECURITIES BROKER/DEALER AND INVESTMENT ADVISOR

5. Principal Office Address

No. and Street: THREE WORLD FINANCIAL CENTER
200 VESEY STREET, 5TH FLOOR

City or Town: NEW YORK State: NY Zip: 10281 Country: USA

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

Contact Name: Contact Title:

No. and Street: THREE WORLD FINANCIAL CENTER
200 VESEY STREET, 5TH FLOOR

City or Town: NEW YORK State: NY Zip: 10281 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	TROY MAXWELL	200 BAY STREET

		TORONTO, ON M5J 2W7 CAN
MANAGER	DOUGLAS MCGREGOR	200 BAY STREET TORONTO, ON M5J 2W7 CAN
MANAGER	THOMAS SAGISSOR	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
MANAGER	JOHN TAFT	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
MANAGER	CATHLEEN TOBIN	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402 USA
MANAGER	CLINTON LIVELY	THREE WORLD FINANCIAL CENTER, 200 VESEY ST NEW YORK, NY 10281 USA
MANAGER	BLAIR FLEMING	THREE WORLD FINANCIAL CENTER, 200 VESEY ST NEW YORK, NY 10281 USA
MANAGER	MARIA T MALARK	THREE WORLD FINANCIAL CENTER, 200 VESEY ST NEW YORK, NY 10281 USA
MANAGER	LISA SORENSON	THREE WORLD FINANCIAL CENTER, 200 VESEY ST NEW YORK, NY 10281 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 27 Day of October, 2016 at 10:49:15 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 ESTHER HELLWIG LOUIS
Signature of Authorized Person

Form No. 632
Revised 09/07