



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: 2017

1. Corporate ID No. 000150398

2. Name of Corporation Apex Clearing Corporation

3. Street Address Principal Business Office:

No. and Street: 350 N. ST. PAUL STREET
SUITE 1300

City or Town: DALLAS State: TX Zip: 75201 Country: USA

4. Business Phone No.

5. State of Incorporation

State: NY

ARTICLE III

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

NAICS Code 522320

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

FINANCIAL SERVICES

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name	Address
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country
SECRETARY	HARRY MCCLISH	350 N. ST. PAUL STREET, SUITE 1300 DALLAS, TX 75201 USA

CEO	WILLIAM CAPUZZI	350 N. ST. PAUL STREET SUITE 1300 DALLAS, TX 75201 USA
ASSISTANT SECRETARY	JEFF LOGAN	350 N. ST. PAUL STREET, SUITE 1300 DALLAS, TX 75201 USA
DIRECTOR	BRIAN DUGGAN	350 N. ST. PAUL STREET, SUITE 1300 DALLAS, TX 75201 USA
DIRECTOR	DANNY ROSENTHAL	350 N. ST. PAUL STREET, SUITE 1300 DALLAS, TX 75201 USA
DIRECTOR	PETER LAWLER	350 N. ST. PAUL STREET, SUITE 1300 DALLAS, TX 75201 USA
DIRECTOR	WILLIAM CAPUZZI	350 N. ST. PAUL STREET SUITE 1300 DALLAS, TX 75201 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>
CWP		\$0.1000	200,000.00	100000

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 2 Day of February, 2017 at 11:07:20 AM. *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 HARRY MCCLISH
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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