



**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.** 000140069

**2. Name of Corporation** BMO Capital Markets Corp.

**3. Street Address Principal Business Office:**

No. and Street: 3 TIMES SQUARE  
City or Town: NEW YORK State: NY Zip: 10036 Country: USA

**4. Business Phone No.**

**5. State of Incorporation**

State: DE

**ARTICLE III**

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

NAICS Code  52

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

SECURITIES BROKER DEALER

**7. Names and Addresses of the Officers and Directors:**

**All officers and directors must be listed.**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
SECRETARY	MICHELLE MAGNAYE	111 W MONROE ST CHICAGO , IL 60603 US
CFO	PAT BEHNKE	3 TIMES SQUARE NEW YORK , NY 10036 US

CHIEF LEGAL OFFICER	CONNI GIBSON	3 TIMES SQUARE NEW YORK , NY 10036 US
CHIEF AML OFFICER	HERB MAZARIEGOS	3 TIMES SQUARE NEW YORK , NY 10036 US
VP TAXATION	PATRICK MURPHY	3 TIMES SQUARE NEW YORK , NY 10036 US
ASSISTANT SECRETARY	CLARE PIERCE	3 TIMES SQUARE NEW YORK , NY 10036 US
DESIGNATED RISK OFFICER	JASON RACHLIN	3 TIMES SQUARE NEW YORK , NY 10036 US
ASSISTANT SECRETARY	ELIZABETH BAILEY	3 TIMES SQUARE NEW YORK , NY 10036 US
DIRECTOR	PATRICK CRONIN	3 TIMES SQUARE NEW YORK, NY 10036 USA
DIRECTOR	KENNETH LIBROT	3 TIMES SQUARE NEW YORK , NY 10036 US
DIRECTOR	PETER MYERS	3 TIMES SQUARE NEW YORK , NY 10036 US
DIRECTOR	DANIELA OLEARY-GILL	3 TIMES SQUARE NEW YORK , NY 10036 USA
DIRECTOR	BRAD REID	3 TIMES SQUARE NEW YORK , NY 10036 US
DIRECTOR	BRAD ROTHBAUM	3 TIMES SQUARE NEW YORK , NY 10036 US
DIRECTOR	CHRIS TAVES	3 TIMES SQUARE NEW YORK , NY 10036 US

#### 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>
PNP		\$0.0000	1.00	1
CNP		\$0.0000	10,000.00	3275

**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 27 Day of February, 2017 at 5:30:16 PM.** *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 MICHELLE MAGNAYE  
Signature of Authorized Representative of the Corporation

Revised 09/07

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