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: 2018

1. Corporate ID No. 000086684

2. Name of Corporation Capital Brokerage Corporation

3. Street Address Principal Business Office:

No. and Street: 6620 W. BROAD STREET
City or Town: RICHMOND State: VA Zip: 23230 Country: USA

4. Business Phone No.

804-281-6000

5. State of Incorporation

State: WA

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes here. More information on NAICS can be found online.

524210

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

REGISTERED 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
VICE PRESIDENT	THOMAS E. DUFFY	6620 W. BROAD ST RICHMOND, VA 23230 USA
ASSISTANT SECRETARY	HOPE M. VAUGHAN	6620 WEST BROAD ST

		RICHMOND, VA 23230 USA
ASSISTANT SECRETARY	THERESA A. MYERS	6620 W. BROAD ST RICHMOND, VA 23230 USA
SENIOR VICE PRESIDENT	SCOTT R. REEKS	6620 WEST BROAD STREET RICHMOND, VA 23230 USA
FINANCIAL & OPERATIONS PRINCIPAL	BONNIE TURNER	6620 WEST BROAD STREET RICHMOND, VA 23230 USA
VICE PRESIDENT AND TREASURER	LISA J. BALDYGA	6620 WEST BROAD STREET RICHMOND, VA 23230 USA
SR. VICE PRESIDENT & CHIEF COMPLIANCE OFFICER	JAMES J. NAMORATO	6620 WEST BROAD STREET RICHMOND, VA 23230 USA
VICE PRESIDENT & SECRETARY	VIDAL J. TORRES	6620 W BROAD ST RICHMOND, VA 23230 USA
ASSISTANT TREASURER	CRAIG L PRICHETTE	6620 WEST BROAD ST RICHMOND, VA 23230 USA
DIRECTOR	JOHN G APOSTLE II	6620 W BROAD ST RICHMOND, VA 23230 USA
DIRECTOR	THOMAS E. DUFFY	6620 W BROAD ST RICHMOND, VA 23230 USA
DIRECTOR	SCOTT R. REEKS	6620 WEST BROAD ST RICHMOND, VA 23230 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares *Number of Shares*	Total Issued and Outstanding *Num of Shares*
CWP		$1.0000	100,000.00	10000

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 30 Day of January, 2018 at 3:07:23 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 HOPE M. VAUGHAN
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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