



**State of Rhode Island  
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:** 2020

**1. ID No.** 000557841

**2. Exact Name of the Limited Liability Company** RBC CAPITAL MARKETS, LLC

**3. State of Formation**

State: MN

**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.

523120

**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 ST, 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 ST, 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	Address
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country
MANAGER	THOMAS SAGISSOR	60 S. SIXTH STREET

		MINNEAPOLIS, MN 55402 USA
MANAGER	AHMED KACHENOURA	200 VESSEY ST NEW YORK, NY 10281 USA
MANAGER	DAVID C DOWNIE	200 VESEY ST NEW YORK, NY 10281 USA
MANAGER	MATTHEW STOPNIK	200 VESEY STREET NEW YORK, NY 10281 USA
MANAGER	JONATHAN YU	200 BAY ST SOUTH TOWER 20TH FL TORONTO, ON M5J2J5 CAN
MANAGER	JOHN THURLOW	30 HUDSON ST JERSEY CITY , NJ 07302 USA
MANAGER	KRISTEN M KIMMELL	THREE WORLD FINANCIAL CENTER 200 VESEY ST, 5TH FLOOR NEW YORK, NY 10281 USA
MANAGER	MICHELLE NEAL	THREE WORLD FINANCIAL CENTER 200 VESEY ST, 5TH FLOOR 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 21 Day of October, 2020 at 10:49:26 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

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