



**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

**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: 2021

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

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.

523110

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 | Address |
|-----------|------------------|--|
| SECRETARY | MICHELLE MAGNAYE | 111 W MONROE ST CHICAGO , IL 60603 US |
| CFO | MICHAEL COPPINS | 3 TIMES SQUARE |

| | | |
|-------------------------------------|--------------------|--|
| | | NEW YORK, NY 60603 USA |
| VP TAXATION | PATRICK MURPHY | 3 TIMES SQUARE NEW YORK , NY 10036 US |
| CHIEF ANTI MONEY LAUNDERING OFFICER | ADAM SCHABES | 111 W. MONROE ST. CHICAGO, IL 60603 USA |
| CHIEF COMPLIANCE OFFICER | MICHAEL FORLENZA | 3 TIMES SQUARE NEW YORK , NY 10036 USA |
| DESIGNATED RISK OFFICER | JEREMY VANBEEK | 111 W. MONROE CHICAGO, IL 60603 USA |
| DIRECTOR | LARISSA CHAIKOWSKY | 111 W MONROE STREET CHICAGO, IL 60603 USA |
| DIRECTOR | SUMMER HINTON | 3 TIMES SQUARE NEW YORK, NY 10036 USA |
| DIRECTOR | DELAND KAMANGA | 100 KING STREET WEST TORONTO, ON M5X1A1 CAN |
| ASSISTANT SECRETARY | CINDY SALAZAR | 111 W MONROE STREET CHICAGO, IL 60603 USA |
| DIRECTOR | BRAD REID | 3 TIMES SQUARE NEW YORK , NY 10036 US |
| DIRECTOR | BRAD ROTHBAUM | 3 TIMES SQUARE NEW YORK , NY 10036 US |
| DIRECTOR | PETER MYERS | 3 TIMES SQUARE NEW YORK , NY 10036 US |
| DIRECTOR | LESLIE ANDERSON | 111 W MONROE STREE CHICAGO, IL 60603 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> |
|----------------|-----------------|---------------------|--|--|
| PNP | | \$0.0000 | 1.00 | 1 |
| CNP | | \$0.0000 | 10,000.00 | 5875 |

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 15 Day of February, 2021 at 9:34:06 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 CINDY SALAZAR
Signature of Authorized Representative of the Corporation

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