



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
 Office of the Secretary of State - Division of Business Services
 148 W. River Street, Providence, Rhode Island 02904-2615
 Phone: (401) 222-3040 ~ Email: corporations@sos.ri.gov ~ Website: www.sos.ri.gov

Amended
2012

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR

Filing Period: January 1 - March 1 • This report must be typed or printed legibly.
 Filing Fee: \$50.00 • FAILURE TO FILE THIS REPORT BY MARCH 31 WILL RESULT IN A \$25.00 PENALTY FEE.

1. Entity ID No. 000123750		2. Exact name of the Corporation RBC Capital Markets Corporation			
3. Principal office address Three World Financial Center, 200 Vesey Street			City New York City	State NY	Zip 10281
4. Business Phone No. (212) 858-7216		5. State of Incorporation Minnesota			
6. Brief description of the character of business conducted in Rhode Island Full Service Securities Brokerage.					
7. LIST ALL OFFICERS (NAMES AND ADDRESSES) ("X" BOX FOR ATTACHMENT) <input checked="" type="checkbox"/>					
President Name			Vice-President Name		
Street Address			Street Address		
City	State	Zip	City	State	Zip
Secretary Name			Treasurer Name		
Street Address			Street Address		
City	State	Zip	City	State	Zip
8. LIST ALL DIRECTORS (NAMES AND ADDRESSES) ("X" BOX FOR ATTACHMENT) <input checked="" type="checkbox"/>					
Director Name			Director Name		
Street Address			Street Address		
City	State	Zip	City	State	Zip
Director Name			Director Name		
Street Address			Street Address		
City	State	Zip	City	State	Zip
9. SHARES AUTHORIZED			10. SHARES ISSUED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/>		
This information is currently of record in the Office of the Secretary of State. Changes require an additional filing. See Section 9 of instruction sheet.			NUMBER OF SHARES	CLASS/SERIES	PAR VALUE
			200,000	Common Shares	0.125
			1	Preferred Shares	0.1

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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.

File Date _____

Check No _____

By: _____

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

FILED

AUG 03 2012

By: DS 10/50

Esther Hellwig 07/26/2012
 Signature of Authorized Representative Date

Esther Hellwig
 Print or Type Name of Authorized Representative

Attachment		
Title	Name of Person	Address
President	John G. Taft	60 S. Sixth Street Minneapolis, MN 55402 USA
Chairman	Mark A. Standish,	200 Vesey Street, New York, NY 10281 USA
Chief Executive Officer	Deborah Freer	200 Vesey Street, New York, NY 10281 USA
Chief Financial Officer	Steven J. Decicco	200 Vesey Street, New York, NY 10281 USA
Secretary	Esther S. Hellwig	200 Vesey Street, New York, NY 10281 USA
Assistant Secretary	Judith Tompkins	200 Vesey Street, New York, NY 10281 USA
Director	Deborah Freer	200 Vesey Street, New York, NY 10281 USA
Director	Clinton Lively	200 Vesey Street, New York, NY 10281 USA
Director	Troy V. Maxwell	200 Bay Street, Toronto, Canada M5J 2J5
Director	Douglas McGregor	200 Bay Street, Toronto, Canada M5J 2J5
Director	Thomas Sagissor	60 S. Sixth Street Minneapolis, MN 55402 USA
Director	Mark A. Standish	200 Vesey Street, New York, NY 10281 USA
Director	John G. Taft	60 S. Sixth Street Minneapolis, MN 55402 USA
Director	Richard J. Tavoso	200 Vesey Street, New York, NY 10281 USA
Director	Cathieen Tobin	60 S. Sixth Street Minneapolis, MN 55402 USA
Director	Mary E. Zimmer	60 S. Sixth Street Minneapolis, MN 55402 USA

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State of Rhode Island and Providence Plantations

A. Ralph Mollis

Secretary of State

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

I, A. RALPH MOLLIS, Secretary of State of the State of Rhode Island
and Providence Plantations, hereby certify that this document, duly
executed in accordance with the provisions of Title 7 of the General Laws
of Rhode Island, as amended, has been filed in this office on this day:

A handwritten signature in black ink that reads "A. Ralph Mollis".

A. RALPH MOLLIS

Secretary of State

