

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Sep 05, 2003 8:00 am
Secretary of State

08-13-2003 90072 043 ***150.00

DOCUMENT # F02000005630

1. Entity Name
RBC CAPITAL MARKETS ARBITRAGE, S.A. CORPORATION



Principal Place of Business
**ONE LIBERTY PLAZA, 165 BROADWAY
NEW YORK NY 10006**

Mailing Address
**ONE LIBERTY PLAZA, 165 BROADWAY
NEW YORK NY 10006**

55055759



2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

☐ CHECK HERE IF MAKING CHANGES

City & State

City & State

4. FEI Number **98-035048**

Applied For
Not Applicable

Zip

Country

Zip

Country

5. Certificate of Status Desired ☐ **\$8.75 Additional Fee Required**

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**C T CORPORATION SYSTEM
1200 SOUTH PINE ISLAND ROAD
PLANTATION FL 33324**

Name

Street Address (P.O. Box Number is Not Acceptable)

City

FL

Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. I am familiar with, and accept the obligations of registered agent.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

FILE NOW!!! FEE IS \$550.00
After September 10, 2003 Fee will be \$750.00
Make Check Payable to Florida Department of State

9. Election Campaign Financing
Trust Fund Contribution. ☐ **\$5.00 May Be Added to Fees**

10. OFFICERS AND DIRECTORS

TITLE **D** ☐ Delete
NAME **BURBIDGE, JOHN**
STREET ADDRESS **ONE LIBERTY PLAZA, 165 BROADWAY**
CITY-ST-ZIP **NEW YORK NY 10006**

TITLE **P** ☐ Delete
NAME **STANDISH, MARK**
STREET ADDRESS **ONE LIBERTY PLAZA, 165 BROADWAY**
CITY-ST-ZIP **NEW YORK NY 10006**

TITLE **T** ☐ Delete
NAME **RUNCIMAN, BRUCE**
STREET ADDRESS **ONE LIBERTY PLAZA, 165 BROADWAY**
CITY-ST-ZIP **NEW YORK NY 10006**

TITLE **CEO** ☐ Delete
NAME **HOTTLER, PAUL**
STREET ADDRESS **ONE LIBERTY PLAZA, 165 BROADWAY**
CITY-ST-ZIP **NEW YORK NY 10006**

TITLE **CCO** ☐ Delete
NAME **HARE-BEY, DWAYNE**
STREET ADDRESS **ONE LIBERTY PLAZA, 165 BROADWAY**
CITY-ST-ZIP **NEW YORK NY 10006**

TITLE **D** ☐ Delete
NAME **TAVOSO, RICHARD**
STREET ADDRESS **ONE LIBERTY PLAZA, 165 BROADWAY**
CITY-ST-ZIP **NEW YORK NY 10006**

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE ☐ Change ☐ Addition

NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE ☐ Change ☐ Addition

NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE ☐ Change ☐ Addition

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TITLE ☐ Change ☐ Addition

NAME
STREET ADDRESS
CITY-ST-ZIP

12. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE:

SIGNATURE REQUIRED

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

8/11/03

(212) 858-7114

DWAYNE HARE-BEY Chief Compliance Officer

CR2E034 (4/03)

Attachment# 55055759



**RBC
Capital
Markets**

RBC Capital Markets Arbitrage S.A.

One Liberty Plaza
165 Broadway
New York, NY 10006-1404
Telephone (212) 428-6200
(212) 858-7000

Via FedEx

August 11, 2003

Division of Corporations
409 East Gaines Street
Tallahassee, Florida 32399

Re: **RBC Capital Markets Arbitrage, S.A.**
Document # F02000005630

Dear Sir or Madam:

Enclosed please find a check in the amount of \$150.00, to cover the fee for RBC Capital Markets Arbitrage, S.A. 2003 For Profit Corporation Uniform Business Report. Please note that the Firm did not receive any prior notice regarding this filing and would like to request an exemption from the \$400.00 penalty fee.

Please do not hesitate to contact me at (212) 858-7114 or Roseann Viscardi at (212) 858-7118, if you have any questions or require additional information.

Sincerely,

A handwritten signature in black ink, appearing to be 'DHB' or similar, written in a cursive style.

Dwayne Hare-Bey
Chief Compliance Officer