

1.) CORPORATION NAME:

Highland Capital Brokerage, Inc.

DUE DATE: **10/31/2011**

SCC ID NO: **F1445875**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: **B.E.**

AUTH IN VI

CT CORPORATION SYSTEM

4701 COX RD STE 301

GLEN ALLEN, VA 23060-6802

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	1,000

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

HENRICO COUNTY

4.) STATE OR COUNTRY OF INCORPORATION:

DE

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 3535 GRANDVIEW PKWY STE 600

CITY/ST/ZIP: BIRMINGHAM, AL 35243-

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME: REBECCA G WINGATE
TITLE: PRESIDENT
ADDRESS: 3535 GRANDVIEW PKWY
STE 600
CITY/ST/ZIP/CO: BIRMINGHAM, AL 35243-

OFFICER

DIRECTOR

NAME: MALIKA S HINKSON
TITLE: VP/DIR
ADDRESS: 340 MADISON AVE 2ND FL
CITY/ST/ZIP/CO: NEW YORK, NY 10173-

OFFICER

DIRECTOR

NAME: LORI M LIESER
TITLE: VICE PRESIDENT
ADDRESS: 500 W MADISON AVENUE STE 2400
CITY/ST/ZIP/CO: CHICAGO, IL 60661-

OFFICER

DIRECTOR

NAME: BRETT SCHNEIDER
TITLE: DIRECTOR
ADDRESS: 340 MADISON AVE 20TH FL
CITY/ST/ZIP/CO: NEW YORK, NY 10173-

OFFICER

DIRECTOR

NAME: KEITH H MATHIS
TITLE: SEC/TREAS
ADDRESS: 3535 GRANDVIEW PKWY
CITY/ST/ZIP/CO: BIRMINGHAM, AL 35243-

OFFICER

DIRECTOR

OFFICER DIRECTOR

NAME: JAMES R. GELDER
TITLE: DIRECTOR
ADDRESS: 1250 CAPITAL OF TEXAS HWY S
 BUILDING 2
CITY/ST/ZIP/CO: AUSTIN, TX 78746-

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

<u>/s/ LORI M LIESER</u>	<u>LORI M LIESER, VICE PRESIDENT</u>	<u>10/21/2011</u>
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PRINTED NAME AND CORPORATE TITLE	DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.