

1.) CORPORATION NAME: Highland Capital Brokerage, Inc.	DUE DATE: 10/31/2012				
2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: CT CORPORATION SYSTEM 4701 COX RD STE 301 GLEN ALLEN, VA 23060-6802	SCC ID NO: F1445875				
3.) CITY OR COUNTY OF VA REGISTERED OFFICE: HENRICO COUNTY	5.) STOCK INFORMATION <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:50%;">CLASS</th> <th style="width:50%;">AUTHORIZED</th> </tr> <tr> <td>COMMON</td> <td>1,000</td> </tr> </table>	CLASS	AUTHORIZED	COMMON	1,000
CLASS	AUTHORIZED				
COMMON	1,000				
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.

	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: REBECCA G WINGATE TITLE: PRESIDENT ADDRESS: 3535 GRANDVIEW PKWY STE 600 CITY/ST/ZIP/CO: BIRMINGHAM, AL 35243		

	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: MALIKA S HINKSON TITLE: VP/DIR ADDRESS: 340 MADISON AVE 2ND FL CITY/ST/ZIP/CO: NEW YORK, NY 10173		

	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: LORI M LIESER TITLE: VICE PRESIDENT ADDRESS: 500 W MADISON AVENUE STE 2400 CITY/ST/ZIP/CO: CHICAGO, IL 60661		

	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
NAME: KEITH H MATHIS TITLE: SEC/TREAS ADDRESS: 3535 GRANDVIEW PKWY CITY/ST/ZIP/CO: BIRMINGHAM, AL 35243		

	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: DOUGLAS HAMMOND TITLE: DIRECTOR ADDRESS: 340 MADISON AVENUE 20TH FLOOR CITY/ST/ZIP/CO: NEW YORK, NY 10173		

	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: BRETT SCHNEIDER TITLE: DIRECTOR ADDRESS: 340 MADISON AVE 20TH FL CITY/ST/ZIP/CO: NEW YORK, NY 10173		

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.

/s/ LORI M LIESER	LORI M LIESER, VICE PRESIDENT	10/30/2012
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.		