



State of Rhode Island
and Providence Plantations
Office of the Secretary of State

A. Ralph Mollis, Secretary of State
Corporations Division
148 W. River Street
Providence, RI 02904-2615
401.222.3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2009

Filing Period: January 1 - March 1 • **Filing Fee:** \$50.00* • **THIS REPORT MUST BE TYPED OR PRINTED LEGIBLY IN BLACK INK.**

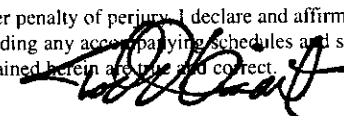
* In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501(c&d)) is subject to a penalty fee of \$25.00.

1. Corporate ID No. 157081		2. Name of Corporation SII Investments, Inc.			
3. Street Address Principal Business Office 5555 W. Grande Market Drive			City Appleton	State WI	Zip 54913
4. Business Phone No. 920-996-2600		5. State of Incorporation Wisconsin			
6. Brief Description of the Character of Business Conducted in Rhode Island Securities Broke Dealer					
7. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) <input checked="" type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name Todd M. Kinart			Vice President Name James P. Miller		
Street Address 5555 W. Grande Market Drive			Street Address 5555 W. Grande Market Drive		
City Appleton	State WI	Zip 54913	City Appleton	State WI	Zip 54913
Secretary Name Thomas J. Meyer			Treasurer Name Maura Collins		
Street Address 1 Corporate Way			Street Address 401 Wilshire Blvd.		
City Lansing	State MI	Zip 48951	City Santa Monica	State CA	Zip 90401
8. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name James Livingston			Director Name Thomas J. Meyer		
Street Address 7601 Technology Way			Street Address 1 Corporate Way		
City Denver	State CO	Zip 80237	City Lansing	State MI	Zip 48951
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.			ISSUED SHARES — THIS SECTION <u>MUST</u> BE COMPLETED		
			Number of Shares	Class/Series	Par Value
			50,000	Common	No Par Value
			15,000	Common	No Par Value

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	2-26-09
Check No.	001023
By:	MNC
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.

Signature:  Date: 2-25-09
Todd Kinart
Print or Type Name
President/CEO
Title

SII INVESTMENTS, INC.
List of Company Officers and Directors

Directors:

James Livingston
7601 Technology Way, Denver, CO 80237

Todd M. Kinart
5555 Grande Market Drive, Appleton, WI 54913

Thomas J. Meyer
1 Corporate Way, Lansing, MI 48951

Officers:

Todd M. Kinart, President & Chief Executive Officer
5555 Grande Market Drive, Appleton, WI 54913

Maura Collins, Senior Vice President, Controller
401 Wilshire Blvd, Suite 1100, Santa Monica, CA 90401

Gerry Gunderson, Senior Vice President and General Counsel
2601 Technology Way, Denver, CO 80237

James P. Miller, Senior Vice President
5555 Grande Market Drive, Appleton, WI 54913

Dawn M. Kalinowski, 1st Vice President & Chief Operations Officer
5555 Grande Market Drive, Appleton, WI 54913

David A. Loasby, 1st Vice President & Chief Compliance Officer
5555 Grande Market Drive, Appleton, WI 54913

Vanessa Rodriguez, Vice President, Controller & FinOp
401 Wilshire Blvd, Suite 1100, Santa Monica, CA 90401

Scott Forbush, Vice President & Associate General Counsel
1 Corporate Way, Lansing, MI 48951

Brian S. Carlson, Vice President
5555 Grande Market Drive, Appleton, WI 54913

Janice L. Herman, Vice President
5555 Grande Market Drive, Appleton, WI 54913

Alice M. Hittle, Vice President
5555 Grande Market Drive, Appleton, WI 54913

Misty A. Zuhlke, Vice President
5555 Grande Market Drive, Appleton, WI 54913

Susan M. Witthuhn, Assistant Vice President
5555 Grande Market Drive, Appleton, WI 54913

Brad Verstegen, Assistant Vice President
5555 Grande Market Drive, Appleton, WI 54913

Ryan Armock, Assistant Vice President
5555 Grande Market Drive, Appleton, WI 54913

Jon DeSmidt, Assistant Vice President
5555 Grande Market Drive, Appleton, WI 54913

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FEB 26 2009

By *MNC*

JD #157081

SII INVESTMENTS, INC.
List of Company Officers and Directors (Cont.)

James Garrison, Assistant Vice President
1 Corporate Way, Lansing, MI 48951

Wendy Kottke, Assistant Vice President
5555 Grande Market Drive, Appleton, WI 54913

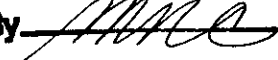
Todd Maneval, Assistant Vice President
1 Corporate Way, Lansing, MI 48951

Thomas J. Meyer, Secretary
1 Corporate Way, Lansing, MI 48951

Julia Goatley, Assistant Secretary
1 Corporate Way, Lansing, MI 48951

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