



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

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

**Foreign Business Corporation
Annual Report**

Filing Period: January 1 - March 1

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.

ANNUAL REPORT YEAR: 2013

1. Corporate ID No. 000157081

2. Name of Corporation SII Investments Inc.

3. Street Address Principal Business Office:

No. and Street: 5555 GRANDE MARKET DRIVE, P.O. BOX
5097

City or Town: APPLETON

State: WI Zip: 54913 Country: USA

4. Business Phone No.

920-996-2600

5. State of Incorporation

State: WI

6. Brief Description of the Character of Business Conducted in Rhode Island

SECURITIES BROKER DEALER ADVISOR

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
TREASURER	MAURA COLLINS	401 WHILSHIRE BLVD. SUITE 1100 SANTA MONICA, CA 90401 USA
SECRETARY	THOMAS J MEYER	1 CORPORATE WAY LANSING, MI 48951 USA
CEO	TODD M KINART	5555 W GRANDE MARKET DRIVE APPLETON, WI 54913 USA
CFO	MAURA COLLINS	401 WILSHIRE BLVD. SUITE 1100 SANTA MONICA, CA 90401 USA

PRESIDENT	TODD M KINART	5555 GRANDE MARKET DRIVE, P.O. BOX 5097 APPLETON, WI 54912-5097 USA
VICE PRESIDENT	JAMES P MILLER	5555 W GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT SECRETARY	JULIA GOATLEY	1 CORPORATE WAY LANSING, MI 48951 USA
DIRECTOR	JAMES LIVINGSTON	7601 TECHNOLOGY WAY DENVER, CO 80237 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CNP		\$0.0000	50,000.00	15000

9. 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.

Signed this 21 Day of February, 2013 at 4:18:57 PM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By TODD KINART
Signature of Authorized Representative of the Corporation

PRESIDENT/CEO
Title

This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.

Form No. 630
Revised 09/07

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