



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: 2015

1. Corporate ID No. 000127067

2. Name of Corporation Conning, Inc.

3. Street Address Principal Business Office:

No. and Street: ONE FINANCIAL PLAZA

City or Town: HARTFORD

State: CT Zip: 06103-2627 Country: USA

4. Business Phone No.

860-299-2000

5. State of Incorporation

State: MO

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

INSTITUTIONAL INVESTMENT 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
PRESIDENT	LINWOOD (WOODY) E. BRADFORD JR.	ONE FINANCIAL PLAZA HARTFORD, CT 06103-2627 USA
TREASURER	JUNG LEE	ONE FINANCIAL PLAZA HARTFORD, CT 06103-2627 USA
SECRETARY	VI R. SMALLEY	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
CEO	LINWOOD (WOODY) E. BRADFORD JR.	ONE FINANCIAL PLAZA HARTFORD, CT 06103-2627 USA
CFO	JUNG LEE	ONE FINANCIAL PLAZA

DIRECTOR	JUNG LEE	HARTFORD, CT 06103-2627 USA ONE FINANCIAL PLAZA HARTFORD, CT 06103-2627 USA
DIRECTOR	LINWOOD (WOODY) E. BRADFORD JR.	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR	GLENN HEISER	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR	RICHARD SEGA	ONE FINANCIAL PLAZA HARTFORD, CT 06103 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	30,000.00	100

**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 16 Day of January, 2015 at 10:36:00 AM.** *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 DONNA J. SCHWARTZ  
Signature of Authorized Representative of the Corporation

**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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