



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: 2016

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
PRESIDENT	TODD KINART	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
SECRETARY	JULIA A GOATLEY	1 CORPORATE WAY LANSING, MI 48951 USA
CEO	TODD M KINART	5555 W GRANDE MARKET DRIVE APPLETON, WI 54913 USA
CFO	MAURA COLLINS	7601 TECHNOLOGY WAY DENVER, CO 80237 USA

SR. VICE PRESIDENT	MAURA COLLINS	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
SENIOR VICE PRESIDENT	ROB DEARMAN	1 CORPORATE WAY LANSING, MI 48951 USA
VICE PRESIDENT	ALLAN R AVENA	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
ASSOCIATE GENERAL COUNSEL	SCOTT FORBUSH	1 CORPORATE WAY LANSING, MI 48951 USA
CONTROLLER	VANESSA LAMBRECHTS	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
FINOP	VANESSA LAMBRECHTS	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	KELLY VANALSTINE	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
VICE PRESIDENT	ADAM WAROT	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
ASSISTANT VICE PRESIDENT	WILLIAM DEVANNEY	1 CORPORATE WAY LANSING, MI 48951 USA
ASSISTANT VICE PRESIDENT	BOB DOWNING	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
VICE PRESIDENT	DANIEL WEISS	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
1ST VICE PRESIDENT	DAVID LOASBY	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
SR. VICE PRESIDENT	DAWN KALINOWSKI	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT VICE PRESIDENT	ALFREDO GOMEZ	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	RYAN ARMOCK	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANCE VICE PRESIDENT	TODD MANEVAL	1 CORPORATE WAY LANSING, MI 48951 USA
VICE PRESIDENT	ALICE M NAEF	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
VICE PRESIDENT	SUE WITTHUHN	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
SR. VICE PRESIDENT	JAMES P MILLER	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
SR. VICE PRESIDENT	GERRY GUNDERSON	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
ASSISTANT VICE PRESIDENT	JEREMY BURTON	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT VICE PRESIDENT	LESLIE BURTON	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT VICE PRESIDENT	JON DESMIDT	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT VICE PRESIDENT	WENDY KOTTKE	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT VICE PRESIDENT	KATHLEEN HANK	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
VICE PRESIDENT	BRIAN S CARLSON	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
VICE PRESIDENT	JANICE HERMAN	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA

ASSISTANT VICE PRESIDENT	MICHAEL DEROSA	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT VICE PRESIDENT	KELLY VANDEN BROOKE	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
CHIEF OPERATIONS OFFICER	DAWN KALINOWSKI	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
ASSISTANT SECRETARY	TODD KINART	5555 W GRANDE MARKET DRIVE APPLETON, WI 54913 USA
CHIEF COMPLIANCE OFFICER	DAVID LOASBY	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
GENERAL COUNSEL	GERRY GUNDERSON	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
VICE PRESIDENT	SCOTT FORBUSH	1 CORPORATE WAY LANSING, MI 48951 USA
VICE PRESIDENT	VANESSA LAMBRECHTS	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
DIRECTOR	TODD M KINART	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
DIRECTOR	GREGORY P CICOTTE	300 INNOVATION DRIVE FRANKLIN, TN 37067 USA
DIRECTOR	MICHAEL A COSTELLO	1 CORPORATE WAY LANSING, MI 48951 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 3 Day of February, 2016 at 12:03:02 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

