



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. 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.

8602992000

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
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
CHIEF COMPLIANCE OFFICER	ROBERT PEARCE	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
CHIEF RISK OFFICER	JAMES ROMANO	ONE FINANCIAL PLAZA

		HARTFORD, CT 06103 USA
DIRECTOR, CHIEF INFORMATION OFFICER	RICHARD SEGA	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR OF CORPORATE FINANCE	THOMAS FORELLA	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR AND CONTROLLER	SUSAN NORTON	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
HEAD OF NORTH AMERICA SALES	MICHAEL HAYLONG	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR, CHIEF ADMINISTRATIVE OFFICER	GLENN R. HEISER	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR, CFO, TREASURER	JUNG W. LEE	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR	LINWOOD (WOODY) E. BRADFORD JR.	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 26 Day of February, 2016 at 3:16:18 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 VI R. SMALLEY
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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