



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: 2018

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

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

524210

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	KRISTAN RICHARDSON	1 CORPORATE WAY LANSING, IL 48951 US
CEO	TODD M KINART	5555 W GRANDE MARKET DRIVE APPLETON, WI 54913 USA
CFO	MAURA COLLINS	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
ASSISTANT VICE PRESIDENT	KELLY VANDEN BROOKE	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
SR. VICE PRESIDENT	MAURA COLLINS	7601 TECHNOLOGY WAY DENVER, CO 80237 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
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
SENIOR VICE PRESIDENT	DANIEL WRIGHT	300 INNOVATION DRIVE FRANKLIN, TN 37067 US
ASSISTANCE VICE PRESIDENT	TODD MANEVAL	1 CORPORATE WAY LANSING, MI 48951 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	ALLAN R AVENA	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
ASSOCIATE GENERAL COUNSEL	SCOTT FORBUSH	1 CORPORATE WAY LANSING, MI 48951 USA
VICE PRESIDENT	DANIEL WEISS	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
ASSISTANT SECRETARY	GERRY GUNDERSON	7601 TECHNOLOGY WAY DENVER , CO 80237 US
ASSISTANT VICE PRESIDENT	JASON AMBOS	7601 TECHNOLOGY WAY DENVER, CO 80237 US
ASSISTANT VICE PRESIDENT	ASHLEY FELTNER	300 INNOVATION DRIVE FRANKLIN, TN 37067 US
ASSISTANT VICE PRESIDENT	COURTNEY KENNEY	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 US
ASSISTANT VICE PRESIDENT	RICK MOHR	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 US
CHAIRMAN	SCOTT ROMINE	300 INNOVATION DRIVE FRANKLIN, TN 37067 US
SR. VICE PRESIDENT	DAWN KALINOWSKI	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA
VICE PRESIDENT	SUE WITTHUHN	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 USA

GENERAL COUNSEL	GERRY GUNDERSON	7601 TECHNOLOGY WAY DENVER, CO 80237 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
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
VICE PRESIDENT	CAREN COLEMAN	100 NORTH SEPULVEDA BLVD EL SEGUNDO, CA 90245 US
VICE PRESIDENT	KELLY VANALSTINE	5555 W GRANDE MARKET DRIVE APPLETON, WI 54913 US
DIRECTOR	BRADLEY O HARRIS	300 INNOVATION FRANKLIN, TN 37067 USA
DIRECTOR	TODD M KINART	5555 W. GRANDE MARKET DRIVE APPLETON, WI 54913 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 18 Day of December, 2017 at 1:13:58 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

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