



**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. 000100937

2. Name of Corporation NATIONAL PLANNING CORPORATION

3. Street Address Principal Business Office:

No. and Street: 100 NORTH SEPULVEDA BLVD
SUITE 1800

City or Town: EL SEGUNDO State: CA Zip: 90245 Country: USA

4. Business Phone No.

5. State of Incorporation

State: DE

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.

523120

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

SECURITIES BROKER-DEALER

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
SECRETARY	KRISTAN RICHARDSON	1 CORPORATE WAY LANSING, MI 48951 USA

SENIOR VP	DANIEL WRIGHT	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
SENIOR VP	PATRICIA MCCALLOP	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	CAREN (JUNG) COLEMAN	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
SENIOR VP	KRISTEN BOSCH	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
ASSIST VP	RUSLAN LEVIN	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
SENIOR VP, ASST SECRETARY	GERRY GUNDERSON	3231 GREENSBORO DRIVE, STE 200 BISMARCK, ND 58503 USA
ASST VP	RICK MOHR	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
CHAIRMAN	SCOTT ROMINE	300 INNOVATION DRIVE FRANKLIN, TN 37067 USA
VICE PRESIDENT	DANIEL WEISS	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
PRESIDENT & CEO	JOHN JOHNSON	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	ALLAN AVENA	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
ASST VP	WILLIAM DEVANNEY	1 CORPORATE WAY LANSING, MI 48951 USA
ASST VP	ROBERT DOWNING	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
VICE PRESIDENT	SCOTT FORBUSH	1 CORPORATE WAY LANSING, MI 48951 USA
ASSIST VP	TODD MANEVAL	1 CORPORATE WAY LANSING, MI 48951 USA
SENIOR VP	WENDY MARTINEZ	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
CFO, SENIOR VP	MAURA COLLINS	7601 TECHNOLOGY WAY DENVER, CO 80237 USA
ASSIST VP	ALFREDO GOMEZ	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	JIM DEFALCO	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	JEREMY STONE	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	ADAM WAROT	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
VP, CONTROLLER	VANESSA LAMBRECHTS	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	JEFF GRIFFITH	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
ASST VP	KATHLEEN M HANK	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
ASST VP	COURTNEY KENNEY	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
DIRECTOR	JOHN JOHNSON	100 NORTH SEPULVEDA BLVD, STE 1800 EL SEGUNDO, CA 90245 USA
DIRECTOR	BRADLEY O HARRIS	300 INNOVATION DRIVE FRANKLIN, TN 37067 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	10,000.00	1000

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 29 Day of January, 2018 at 4:30:04 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 KRISTAN L. RICHARDSON
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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