



**State of Rhode Island and Providence Plantations  
Office of the Secretary of State**

No Fee

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Foreign Business Corp  
Annual Report - Amended**

(Section 7-1.2-1501(e) of the General Laws of Rhode Island, 1956, as amended)

**This form is only to be used to amend the current annual report on file with this office.**

**ANNUAL REPORT YEAR:** 2019

**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

Country: USA

**5. State of Incorporation**

State: MO

**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.

523920

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

REGISTERED INVESTMENT ADVISER

**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 E. BRADFORD JR.	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
TREASURER	JUNG W. LEE	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
SECRETARY	VI R. SMALLEY	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR	MICHAEL HAYLON	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA

DIRECTOR	JUNG W. LEE	ONE FINANCIAL PLAZA HARTFORD, CT 06103 USA
DIRECTOR	LINWOOD 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 1 Day of March, 2019 at 4:37:17 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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State of Rhode Island and Providence Plantations  
**Department of State | Office of the Secretary of State**  
**Nellie M. Gorbea**, *Secretary of State*

I, NELLIE M. GORBEA, Secretary of State of the State of Rhode Island  
and Providence Plantations, hereby certify that this document, duly executed in  
accordance with the provisions of Title 7 of the General Laws of Rhode Island, as  
amended, has been filed in this office on this day:

March 01, 2019 04:37 PM

The signature is written in a cursive, flowing style in blue ink. It appears to read "Nellie M. Gorbea".

Nellie M. Gorbea  
*Secretary of State*

