



**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: 2020

1. Corporate ID No. 001663297

2. Name of Corporation Voya Financial Advisors, Inc.

3. Street Address Principal Business Office:

No. and Street: 699 WALNUT STREET
SUITE 1000

City or Town: DES MOINES

State: IA

Zip: 50309

Country: USA

4. Business Phone No.

5. State of Incorporation

State: MN

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

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
PRESIDENT	THOMAS HALLORAN	30 BRAINTREE HILL OFFICE PARK BRAINTREE, MA 02184 USA

SECRETARY	MELISSA O'DONNELL	20 WASHINGTON AVENUE SOUTH MINNEAPOLIS, MN 55401 USA
CFO	KRISTIN HULTGREN	ONE ORANGE WAY WINDSOR, CT 06095 USA
VICE PRESIDENT	SCOTT W. STEVENS	30 BRAINTREE HILL OFFICE PARK BRAINTREE, MA 02184 USA
ASSISTANT SECRETARY	TINA SCHULTZ	20 WASHINGTON AVENUE SOUTH MINNEAPOLIS, MN 55401 USA
SENIOR VICE PRESIDENT AND TREASURER	DAVID S. PENDERGRASS	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
VICE PRESIDENT	FREDERICK C. LITOW	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
VICE PRESIDENT	JONATHAN F. REILLY	699 WALNUT STREET DES MOINES, IA 50309 USA
VICE PRESIDENT, FINANCIAL PLANNING AND ANALYSIS	BRADEN A. HART	ONE ORANGE WAY WINDSOR, CT 06095 USA
VICE PRESIDENT AND ASSISTANT TREASURER	DEBRA M. BELL	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
VICE PRESIDENT AND ASSISTANT TREASURER	KEVIN J. REIMER	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
ASSISTANT SECRETARY	ANGELIA M. LATTERY	20 WASHINGTON AVENUE SOUTH MINNEAPOLIS, MN 55401 USA
SENIOR VICE PRESIDENT AND CHIEF TAX OFFICER	CARLO BERTUCCI	ONE ORANGE WAY WINDSOR, CT 06095 USA
TAX OFFICER	ANDREW M. KALLENBERG	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
TAX OFFICER	KEITH C. WATKINS	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
VICE PRESIDENT AND BROKER- DEALER CHIEF COMPLIANCE OFFICER	DANIEL P. BURKOTT	ONE ORANGE WAY WINDSOR, CT 06095 USA
VICE PRESIDENT	JASON R. WERTH	699 WALNUT STREET DES MOINES, IA 50309 USA
CHIEF OPERATING OFFICER	KAY A. KEMP	699 WALNUT STREET DES MOINES, IA 50309 USA
SENIOR VICE PRESIDENT AND ASSISTANT SECRETARY	JEAN WENG	230 PARK AVENUE NEW YORK, NY 10169 USA
TAX OFFICER	JAMES DOUGLAS ENSLEY	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
CHIEF INFORMATION SECURITY OFFICER	RAJAT P. BADHWAR	ONE ORANGE WAY WINDSOR, CT 06095 USA
VICE PRESIDENT	SHANNON D. HOGENDORN	699 WALNUT STREET DES MOINES, IA 50309 USA
VICE PRESIDENT, CHIEF COUNSEL	MARK A. SIDES	ONE ORANGE WA WINDSOR, CT 06095 USA
VICE PRESIDENT	RONALD E. FALKNER	ONE ORANGE WAY WINDSOR, CT 06095 USA
VICE PRESIDENT	TIMOTHY B. MURPHY	30 BRAINTREE HILL OFFICE PARK BRAINTREE, MA 02184 USA
ASSISTANT CHIEF FINANCIAL OFFICER	FREDERICK C. BOHN	ONE ORANGE WAY WINDSOR, CT 06095 USA
VICE PRESIDENT	FELIX SILVERIO	ONE ORANGE WAY WINDSOR, CT 06095 USA
EXECUTIVE VICE PRESIDENT AND CHIEF RISK OFFICER	MICHAEL S. SMITH	230 PARK AVENUE NEW YORK, NY 10169 USA

DIRECTOR	EDWARD J. POLLIS	30 BRAINTREE HILL OFFICE PARK BRAINTREE, MA 02184 USA
DIRECTOR	THOMAS HALLORAN	30 BRAINTREE HILL OFFICE PARK BRAINTREE, MA 02184 USA
DIRECTOR	DANIEL P. BURKOTT	ONE ORANGE WAY WINDSOR, CT 06095 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>
CWP		\$10.0000	5,000.00	1500

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 24 Day of January, 2020 at 2:49:09 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 TINA SCHULTZ
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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