



**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. 000096643

2. Name of Corporation Avantax Investment Services, Inc.

3. Street Address Principal Business Office:

No. and Street: 6333 N STATE HWY 161, STE 400
ATTN: ACCOUNTING

City or Town: IRVING State: TX Zip: 75038 Country: USA

4. Business Phone No.

5. State of Incorporation

State: TX

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 SALES

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	ENRIQUE VASQUEZ	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 USA

SECRETARY	ENRIQUE VASQUEZ	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 USA
CHIEF BUSINESS OPERATIONS AND DEVELOPMENT OFFICER	TODD C MACKAY	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 USA
CCO AND ASSISTANT SECRETARY	CASEY GRIFFIN	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 USA
PRINCIPAL FINANCE OFFICER	CHRIS ROD	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 USA
DIRECTOR	TODD MACKAY	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 USA
DIRECTOR	ENRIQUE VASQUEZ	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 USA
DIRECTOR	CASEY GRIFFIN	6333 N STATE HWY 161, STE 400 IRVING, TX 75038 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		\$0.0320	900,000.00	546000

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 9 Day of March, 2020 at 2:16:39 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 CHRISTOPHER ROD
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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