



**State of Rhode Island  
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:** 2021

**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

**4. Business Phone No.**

**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 E. 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 26 Day of February, 2021 at 10:19:47 AM.** *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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