



**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. 000486361

2. Name of Corporation Securities America Advisors, Inc.

3. Street Address Principal Business Office:

No. and Street: 12325 PORT GRACE BOULEVARD

City or Town: LA VISTA

State: NE Zip: 68128 Country: USA

4. Business Phone No.

5. State of Incorporation

State: NE

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

INVESTMENT ADVISOR FIRM

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	NINA MCKENNA	20 E. THOMAS RD PHOENIX, AZ 85012 USA
CFO	DAVID VAUGHAN, JR.	12325 PORT GRACE BLVD

		LA VISTA, NE 68128 USA
EXECUTIVE VICE PRESIDENT	KIRK HULETT	12325 PORT GRACE BLVD LA VISTA, NE 68128 USA
PRESIDENT/DIRECTOR	P. JANINE WERTHEIM	12325 PORT GRACE BLVD LA VISTA, NE 68128 USA
DIRECTOR	JAMES D. NAGENGAST	12325 PORT GRACE BLVD LA VISTA, NE 68128 USA
DIRECTOR	KIRK J. HULETT	12325 PORT GRACE BLVD LA VISTA, NE 68128 USA
DIRECTOR	JOSEPH GIOVANNIELLO	277 PARK AVENUE, 26TH FLOOR NEW YORK, NY 10172 USA
DIRECTOR	PHIL BLANCATO	12325 PORT GRACE BLVD LA VISTA, NE 68128 USA
DIRECTOR	MATTHEW SCHLUETER	2300 WINDY RIDGE PARKWAY SUITE 750 ATLANTA, GA 30339 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		\$1.0000	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 1 Day of March, 2021 at 3:23:00 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 NINA MCKENNA
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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