



**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. 000080278

2. Name of Corporation SLD America Equities, Inc.

3. Street Address Principal Business Office:

No. and Street: ONE ORANGE WAY

City or Town: WINDSOR

State: CT

Zip: 06095

Country: USA

4. Business Phone No.

6123423567

5. State of Incorporation

State: CO

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

WHOLESALE BROKER-DEALER

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name	Address
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country
VICE PRESIDENT AND CHIEF INFORMATION OFFICER	RAGHIB MUHAMMAD	1475 DUNWOODY DRIVE WEST CHESTER, PA 19380 USA
VICE PRESIDENT AND CHIEF	ROBERT PIENKOWSKI	1475 DUNWOODY DRIVE

INFORMATION SECURITY OFFICER		WEST CHESTER, PA 19380 USA
VICE PRESIDENT AND ASSISTANT TREASURER	MARY A. TUTTLE	1475 DUNWOODY DRIVE WEST CHESTER, PA 19380 USA
VICE PRESIDENT AND ASSISTANT TREASURER	DEBRA M. BELL	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
ASSISTANT SECRETARY	ANGELIA LATTERY	20 WASHINGTON AVENUE SOUTH MINNEAPOLIS, MN 55401 USA
TAX OFFICER	JAMES DOUGLAS ENSLEY	5780 POWERS FERRY ROAD NW ATLANTA, GA 30327 USA
PRESIDENT AND CHIEF EXECUTIVE OFFICER	BRANDI HAUGEN	2000 - 21ST AVENUE NW MINOT, ND 58703 USA
SENIOR VICE PRESIDENT AND CHIEF RISK OFFICER	ANTHONY J. BRANTZEG	1475 DUNWOODY DRIVE WEST CHESTER, PA 19380 USA
SENIOR VICE PRESIDENT AND CHIEF COMPLIANCE OFFICER	CHAD M. ESLINGER	20 WASHINGTON AVENUE SOUTH MINNEAPOLIS, MN 55401 USA
SENIOR VICE PRESIDENT AND SECRETARY	JOHN T. PRICE	5770 POWERS FERRY ROAD ATLANTA, GA 30327 USA
VICE PRESIDENT AND CHIEF FINANCIAL OFFICER	MATTHEW K. DUFFY	5770 POWERS FERRY ROAD ATLANTA, GA 30327 USA
VICE PRESIDENT AND TREASURER	STEPHEN D. HARTMAN	1475 DUNWOODY DRIVE WEST CHESTER, PA 19380 USA
DIRECTOR	WILLIAM T. BAINBRIDGE	1475 DUNWOODY DRIVE WEST CHESTER, PA 19380 USA
DIRECTOR	KEVIN R. SOCHA	1475 DUNWOODY DRIVE WEST CHESTER, PA 19380 USA
DIRECTOR	AMY JO WIESE	699 WALNUT STREET DES MOINES, IA 50309 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	250,000.00	250000

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 21 Day of March, 2021 at 9:42:36 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 ANGELIA LATTERY
Signature of Authorized Representative of the Corporation

Revised 09/07

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