

**2016 FOREIGN PROFIT CORPORATION ANNUAL REPORT**

DOCUMENT# F96000001971

**Entity Name:** SII INVESTMENTS, INC

**Current Principal Place of Business:**

5555 GRANDE MARKET DR  
APPLETON, WI 54913

**Current Mailing Address:**

P O BOX 5097  
APPLETON, WI 54912-5097 US

**FEI Number:** 39-1099262

**Certificate of Status Desired:** No

**Name and Address of Current Registered Agent:**

CT CORPORATION SYSTEM  
1200 S. PINE ISLAND ROAD  
PLANTATION, FL 33324 US

*The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.*

**SIGNATURE:** \_\_\_\_\_

Electronic Signature of Registered Agent

\_\_\_\_\_ Date

**Officer/Director Detail :**

Title PRESIDENT, CEO, ASSISTANT SECRETARY  
Name KINART, TODD M  
Address 5555 W GRANDE MARKET DR  
City-State-Zip: APPLETON WI 54913

Title SVP  
Name MILLER, JAMES P  
Address 5555 W GRANDE MARKET DR  
City-State-Zip: APPLETON WI 54913

Title DIRECTOR  
Name KINART, TODD M  
Address 5555 W GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title CFO, SVP  
Name COLLINS, MAURA  
Address 7601 TECHNOLOGY WAY  
City-State-Zip: DENVER CO 80237

Title SENIOR VICE PRESIDENT, GENERAL COUNSEL  
Name GUNDERSON, GERRY  
Address 7601 TECHNOLOGY WAY  
City-State-Zip: DENVER CO 80237

Title SVP, CHIEF COMPLIANCE OFFICER  
Name LOASBY, DAVID A  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title SVP, CHIEF OPERATIONS OFFICER  
Name KALINOWSKI, DAWN  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title VP  
Name ARMOCK, RYAN  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

**Continues on page 2**

*I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears above, or on an attachment with all other like empowered.*

**SIGNATURE:** TODD M KINART

**DIRECTOR**

**03/23/2016**

\_\_\_\_\_ Electronic Signature of Signing Officer/Director Detail

\_\_\_\_\_ Date

**Officer/Director Detail Continued :**

Title VP  
Name CARLSON, BRIAN  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title VP  
Name HERMAN, JAN  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title VP  
Name NAEF, M ALICE  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title VP  
Name WEISS, DANIEL  
Address 7601 TECHNOLOGY WAY  
City-State-Zip: DENVER CO 80237

Title ASSISTANT VICE PRESIDENT  
Name BURTON, JEREMY  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title ASSISTANT VICE PRESIDENT  
Name DEROSA, MICHAEL  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title ASSISTANT VICE PRESIDENT  
Name GOMEZ, ALFREDO  
Address 100 NORTH SEPULVEDA BLVD  
City-State-Zip: EL SEGUNDO CA 90245

Title ASSISTANT VICE PRESIDENT  
Name KOTTKE, WENDY  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title ASSISTANT VICE PRESIDENT  
Name VANDEN BROOKE, KELLY  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title VP  
Name AVENA, ALLAN R  
Address 100 NORTH SEPULVEDA BLVD  
City-State-Zip: EL SEGUNDO CA 90245

Title ASSISTANT VICE PRESIDENT  
Name DEVANNEY, WILLIAM

Title VP, ASSOCIATE GENERAL COUNSEL  
Name FORBUSH, SCOTT A  
Address 1 CORPORATE WAY  
City-State-Zip: LANSING MI 48951

Title VP, CONTROLLER, FINOP  
Name LAMBRECHTS, VANESSA  
Address 100 NORTH SEPULVEDA BLVD  
City-State-Zip: EL SEGUNDO CA 90245

Title VP  
Name VANALSTINE, KELLY  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title VP  
Name WITTHUHN, SUE  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title ASSISTANT VICE PRESIDENT  
Name BURTON, LESLIE  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title ASSISTANT VICE PRESIDENT  
Name DESMIDT, JON  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title ASSISTANT VICE PRESIDENT  
Name HANK, M KATHLEEN  
Address 5555 W. GRANDE MARKET DRIVE  
City-State-Zip: APPLETON WI 54913

Title ASSISTANT VICE PRESIDENT  
Name MANEVAL, TODD A  
Address 1 CORPORATE WAY  
City-State-Zip: LANSING MI 48951

Title SECRETARY  
Name JULIA, A GOATLEY  
Address 1 CORPORATE WAY  
City-State-Zip: LANSING MI 48951

Title VP  
Name WAROT, ADAM  
Address 7601 TECHNOLOGY WAY  
City-State-Zip: DENVER CO 80237

Title ASSISTANT VICE PRESIDENT  
Name DOWNING, BOB  
Address 7601 TECHNOLOGY WAY

Address 1 CORPORATE WAY  
City-State-Zip: LANSING MI 48951  
Title DIRECTOR  
Name CICOTTE, GREGORY P  
Address 300 INNOVATION DRIVE  
City-State-Zip: FRANKLIN TN 37067

City-State-Zip: DENVER CO 80237  
Title DIRECTOR  
Name COSTELLO, MICHAEL A  
Address 1 CORPORATE WAY  
City-State-Zip: LANSING MI 48951