

1.) CORPORATION NAME:

SII Investments, Inc.

DUE DATE: **5/31/2011**

SCC ID NO: **F1214594**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: **B.E.**

AUTH IN VI

CT CORPORATION SYSTEM

4701 COX RD STE 301

GLEN ALLEN, VA 23060-6802

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	50,000

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

HENRICO COUNTY

4.) STATE OR COUNTRY OF INCORPORATION:

WI

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 5555 GRANDE MARKET DRIVE

CITY/ST/ZIP: APPLETON, WI 54913-

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME: TODD M KINART
TITLE: P/CEO
ADDRESS: 5555 W GRANDE MARKET DR
CITY/ST/ZIP/CO: APPLETON, WI 54913-

OFFICER

DIRECTOR

NAME: DAVID LOASBY
TITLE: VP/CCO
ADDRESS: 5555 GRANDE MARKET DRIVE
CITY/ST/ZIP/CO: APPLETON, WI 54913-

OFFICER

DIRECTOR

NAME: JULIA GOATLEY
TITLE: ASST SECRETARY
ADDRESS: 1 CORPORATE WAY
CITY/ST/ZIP/CO: LANSING, MI 48951-

OFFICER

DIRECTOR

NAME: MAURA COLLINS
TITLE: CFO/FNOP/TREAS
ADDRESS: 401 WILSHIRE BLVD STE 1100
CITY/ST/ZIP/CO: SANTA MONICA, CA 90401-

OFFICER

DIRECTOR

NAME: JAMES LIVINGSTON
TITLE: DIRECTOR
ADDRESS: 7601 TECHNOLOGY WAY
CITY/ST/ZIP/CO: DENVER, CO 80237-

OFFICER

DIRECTOR

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

/s/ TODD M KINART	TODD M KINART, P/CEO	6/27/2011
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PRINTED NAME AND CORPORATE TITLE	DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.