

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

LARP
0843800
Alison Lundergan Grimes
KY Secretary of State
Received and Filed
6/30/2014 1:46:20 PM
Fee receipt: **\$15.00**

Alison Lundergan Grimes
Secretary of State
P. O. Box 1150
Frankfort, KY 40602-1150
(502) 564-3490
<http://www.sos.ky.gov>

**Annual Report
Online Filing**

ARP

Company: CETERA FINANCIAL SPECIALISTS LLC
Company ID: 0843800
State of origin: Delaware
Formation date: 11/30/2012 12:00:00 AM
Date filed: 6/30/2014 1:46:20 PM
Fee: \$15.00

Principal Office

200 N. MARTINGALE RD.
SCHAUMBURG, IL 60173-2096

Registered Agent Name/Address

CT CORPORATION SYSTEM
306 W. MAIN STREET, SUITE 512
FRANKFORT, KY 40601

Members/Managers

Manager	R LAWRENCE ROTH	200 N SEPULVEDVA BLVD., STE 1200, EL SEGUNDO, CA 90245
Manager	STEVEN J DUNLAP, JR.	200 N SEPULVEDVA BLVD., STE 1200, EL SEGUNDO, CA 90245
Manager	ENRIQUE M VASQUEZ	200 N MARTINGALE RD., 7TH FLOOR, SCHAUMBURG, IL 60173

Signatures

Signature	GREG A OLSON
Title	ASSISTANT SECRETARY