

**Commonwealth of Kentucky**  
**Michael G. Adams, Secretary of State**

LARP  
0843800  
Michael G. Adams  
KY Secretary of State  
Received and Filed  
6/20/2021 7:19:04 PM  
Fee receipt: \$15.00

Michael G. Adams  
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:** 6/20/2021 7:19:04 PM  
**Fee:** \$15.00

**Principal Office**

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

**Registered Agent Name/Address**

CORPORATION SERVICE COMPANY  
421 WEST MAIN STREET  
FRANKFORT, KY 40601

**Members/Managers**

|         |                |                                                      |
|---------|----------------|------------------------------------------------------|
| Manager | JOSEPH NEARY   | 200 N PACIFIC COAST HWY STE 1200 EL SEGUNDO CA 90245 |
| Manager | THOMAS TAYLOR  | 200 N PACIFIC COAST HWY STE 1200 EL SEGUNDO CA 90245 |
| Manager | RONALD KRUEGER | 200 N PACIFIC COAST HWY STE 1200 EL SEGUNDO CA 90245 |

**Signatures**

|                  |               |
|------------------|---------------|
| <b>Signature</b> | THOMAS TAYLOR |
| <b>Title</b>     | MANAGER       |