

Commonwealth of Kentucky  
Michael G. Adams, Secretary of State

LARP  
0843800  
Michael G. Adams  
KY Secretary of State  
Received and Filed  
7/13/2023 4:10:17 PM  
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Michael G. Adams  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
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Annual Report  
Online Filing  
For the Year 2023

ARP

**Company:** CETERA FINANCIAL SPECIALISTS LLC  
**Company ID:** 0843800  
**State of origin:** Delaware  
**Formation date:** 11/30/2012 12:00:00 AM  
**Date filed:** 7/13/2023 4:09:25 PM  
**Fee:** \$15.00

**Principal Office**  
1450 AMERICAN LANE  
STE 650  
SCHAUMBURG, IL 60173

**Registered Agent Name/Address**  
CORPORATION SERVICE COMPANY  
421 WEST MAIN STREET  
FRANKFORT, KY 40601

**Members/Managers**

|        |                  |                                                          |
|--------|------------------|----------------------------------------------------------|
| Member | JOSEPH D. NEARY  | 655 W. BROADWAY, 12TH FLOOR, SAN DIEGO, CA 92101         |
| Member | THOMAS B. TAYLOR | 200 N. PACIFIC COAST HWY, STE 1300, EL SEGUNDO, CA 90245 |
| Member | THOMAS A. GOOLEY | 2301 ROSECRANS AVE, STE 5100, EL SEGUNDO, CA 90245       |

**Signatures**

|                  |                 |
|------------------|-----------------|
| <b>Signature</b> | GARY L. CHAFFIN |
| <b>Title</b>     | TAX OFFICER     |