

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

PARP
0802251
Alison Lundergan Grimes
KY Secretary of State
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Alison Lundergan Grimes
Secretary of State
P. O. Box 1150
Frankfort, KY 40602-1150
(502) 564-3490
<http://www.sos.ky.gov>

Annual Report
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ARP

Company: CETERA FINANCIAL GROUP, INC.
Company ID: 0802251
State of origin: Delaware
Formation date: 10/5/2011 12:00:00 AM
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Principal Office

200 N. SEPULVEDA BLVD.
SUITE 1200
EL SEGUNDA, CA 90245

Registered Agent Name/Address

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

Current Officers

| | | |
|---------------------|-----------------|--|
| CEO | Valerie G Brown | 200 N. Sepulveda Blvd. Suite 1200, El Segundo CA 90245 |
| CFO | Jon C Frojen | 200 N. Sepulveda Blvd. Suite 1200, El Segundo CA 90245 |
| Secretary | Nina S McKenna | 200 N. Sepulveda Blvd. Suite 1200, El Segundo CA 90245 |
| Treasurer | Mark P Shelson | 400 1st Street South, Suite 300, St Cloud MN 56301 |
| Assistant Secretary | Greg A Olson | 400 1st Street South, Suite 300, St Cloud MN 56301 |

Directors

| | | |
|----------|--------------------|--|
| Director | Donald B Marron | 9 WEST 57TH ST, NEW YORK, NY 10019 |
| Director | Mark F Vassallo | 9 WEST 57TH ST, NEW YORK, NY 10019 |
| Director | Stewart K.P. Gross | 9 WEST 57TH ST, NEW YORK, NY 10019 |
| Director | Valerie G Brown | 200 N. Sepulveda Blvd. Suite 1200, El Segundo CA 90245 |
| Director | Alice D Schroeder | 65 HIGH RIDGE RD., STE 502, STAMFORD, CT 06905 |

Signatures

| | |
|-----------|---------------------|
| Signature | GREG A OLSON |
| Title | ASSISTANT SECRETARY |