

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

| | | |
|---------------------|-----------------|--|
| President | ADAM ANTONIADES | 200 N. Sepulveda Blvd. Suite 1200, El Segundo CA 90245 |
| Assistant Secretary | Greg A Olson | 400 1st Street South, Suite 300, St Cloud MN 56301 |
| 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 |

Directors

| | | |
|----------|--------------|--|
| Director | NINA MCKENNA | 200 N SEPULVEDA BLVD, STE 1200, EL SEGUNDO, CA 90245 |
| Director | MASON ALLEN | 405 PARK AVE 12TH FL NEW YORK, NY 10022 |

Signatures

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