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Commonwealth of Kentucky Alison Lundergan Grimes, Secretary o

0844653 Alison Lundergan Grimes KY Secretary of State Received and Filed

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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

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ARP

Company: CETERA INVESTMENT SERVICES LLC

Company ID: 0844653 State of origin: Delaware

Formation date: 12/12/2012 12:00:00 AM Date filed: 6/29/2016 10:43:23 AM

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Principal Office

400 1ST STREET SOUTH SUITE 300 ST. CLOUD, MN 56301

Registered Agent Name/Address

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

Members/Managers

Manager ADAM ANTONIADES 200 N SEPULVEDA BLVD.,STE 1200, EL SEGUNDO, CA 90245
Manager BRETT L HARRISON 4600 S SYRACUSE ST STE 600 DENVER, CO 80237
Manager CATHERINE M BONNEAU 400 1ST STREET SOUTH STE 300, ST CLOUD, MN 56301

Signatures

Signature GREG A OLSON

Title ASSISTANT SECRETARY