

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

LARP  
0844653  
Michael G. Adams  
KY Secretary of State  
Received and Filed  
6/20/2021 3:35:10 PM  
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Michael G. Adams  
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 INVESTMENT SERVICES LLC  
**Company ID:** 0844653  
**State of origin:** Delaware  
**Formation date:** 12/12/2012 12:00:00 AM  
**Date filed:** 6/20/2021 3:35:10 PM  
**Fee:** \$15.00

**Principal Office**

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

**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	LEANN RUMMEL	400 1ST STREET SOUTH STE 300, ST CLOUD, MN 56301
Manager	THOMAS TAYLOR	200 N PACIFIC COAST HWY., STE 1200, EL SEGUNDO, CA 90245

**Signatures**

<b>Signature</b>	GARY CHAFFIN
<b>Title</b>	TAX OFFICER