



State of Rhode Island and Providence Plantations
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

Foreign Business Corporation
Annual Report

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2014

1. Corporate ID No. 000737920

2. Name of Corporation CETERA FINANCIAL GROUP, INC.

3. Street Address Principal Business Office:

No. and Street: 200 N SEPULVEDA BLVD

City or Town: EL SEGUNDO

State: CA

Zip: 90245

Country: USA

4. Business Phone No.

320-656-4003

5. State of Incorporation

State: DE

6. Brief Description of the Character of Business Conducted in Rhode Island

HOLDING COMPANY OF BROKER DEALERS

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	VALERIE G BROWN	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
TREASURER	MARK P SHELSON	400 1ST STREET SOUTH ST. CLOUD, MN 56301 USA
SECRETARY	NINA S MCKENNA	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
CFO	JON C FROJEN	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
ASSISTANT SECRETARY	TOM W ROTHENBUCHER	200 N SEPULVEDA BLVD

		EL SEGUNDO, CA 90245 USA
ASSISTANT SECRETARY	GREG A OLSON	400 1ST STREET SOUTH ST. CLOUD, MN 56301 USA
DIRECTOR	DONALD B MARRON	425 LEXINGTON AVE NEW YORK, NY 10017 USA
DIRECTOR	STEWART P GROSS	425 LEXINGTON AVE NEW YORK, NY 10017 USA
DIRECTOR	MARK F VASSALLO	425 LEXINGTON AVE NEW YORK, NY 10017 USA
DIRECTOR	VALERIE G BROWN	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
DIRECTOR	ALICE D SCHROEDER	65 HIGH RIDGE RD SUITE 502 STAMFORD, CT 06905 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP		\$0.0100	1,000.00	0

9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

Signed this 12 Day of February, 2014 at 5:17:18 PM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By GREG A. OLSON
Signature of Authorized Representative of the Corporation

ASSISTANT SECRETARY
Title

This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.

Form No. 630
Revised 09/07

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