



**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: 2016

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.

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	ADAM ANTONIADES	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
ASSISTANT SECRETARY	TOM W ROTHENBUCHER	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
ASSISTANT SECRETARY	GREG A OLSON	200 N SEPULVEDA BLVD

		EL SEGUNDO, CA 90245 USA
DIRECTOR	RALPH LAWRENCE ROTH	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
DIRECTOR	BRIAN NYGAARD	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 USA
DIRECTOR	ADAM ANTONIADES	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245 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 28 Day of December, 2015 at 4:53:07 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

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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