



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

Limited Liability Company
Annual Report

Filing Period: September 1 - November 1

In accordance with R.I.G.L. 7-16-66(d), each limited liability company failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-16-66(b&c)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2016

1. ID No. 000795008

2. Exact Name of the Limited Liability Company Cetera Investment Services LLC

3. State of Formation

State: DE

ARTICLE III

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code 52

4. Brief Description of the Character of the Business Which is Actually Conducted in Rhode Island

SECURITIES BROKER/DEALER

5. Principal Office Address

No. and Street: 400 1ST STREET SOUTH, SUITE 300

City or Town: ST. CLOUD

State: MN Zip: 56301 Country: USA

6. Mailing Address of Limited Liability Company and Name or Title of Contact Person:

Contact Name: DANA THOMSEN Contact Title: TAX ACCOUNTANT

No. and Street: 400 1ST STREET SOUTH, SUITE 300

City or Town: ST. CLOUD

State: MN Zip: 65301 Country: USA

7. Name and Address of Each Manager of the Limited Liability Company, if Applicable.
DO NOT LIST MEMBERS

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
MANAGER	CATHERINE M BONNEAU	400 1ST ST S STE 300 ST CLOUD, MN 56301 USA
MANAGER	ADAM ANTONIADES	200 N SEPULVEDA BLVD

MANAGER

LEANN RUMMEL

EL SEGUNDO, CA 90245 USA

400 1ST ST SOUTH
ST CLOUD, MN 56301 USA

**8. RESIDENT AGENT IN RHODE ISLAND - DO NOT ALTER
Changes Require Filing of Form 642 - R.I.G.L. 7-16-11**

CT CORPORATION SYSTEM 450 VETERANS MEMORIAL PARKWAY, SUITE 7A EAST
PROVIDENCE , RI 02914

9. This report must be executed by an authorized person pursuant to R.I.G.L. 7-16-66 (b).

Signed this 26 Day of October, 2016 at 12:19:55 PM by the authorized person. *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 company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-16.*

By GREG OLSON
Signature of Authorized Person

Form No. 632
Revised 09/07

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