



## STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

Office of the Secretary of State

Matthew A. Brown, Secretary of State

Corporations Division  
100 North Main Street  
Providence, RI 02903-1335  
401.222.3040

## PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2005

Filing Period: January 1 - March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED OR PRINTED IN BLACK)

1. Corporate ID No. 68041		2. Name of Corporation CUNA BROKERAGE SERVICES, INC.			
3. Street Address Principal Business Office 5910 Mineral Pt. Rd.		City Madison	State WI	Zip 53705	
4. Business Phone No. 608/238-5851		5. State of Incorporation WISCONSIN		6. SIC Code 6064	
7. Brief Description of the Character of Business Conducted in Rhode Island TO ENGAGE IN THE RETAIL SALE OF SECURITIES					
8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name John W. Henry		Vice President Name Kevin S. Thompson			
Street Address 44 S. Third Street		Street Address 5910 Mineral Pt. Rd.			
City Waterville	State OH	Zip 43566	City Madison	State WI	Zip 53593
Secretary Name Christine M. Anderson		Treasurer Name Christine M. Anderson			
Street Address 5910 Mineral Pt. Rd.		Street Address 5910 Mineral Pt. Rd.			
City Madison	State WI	Zip 53705	City Madison	State WI	Zip 53705
9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name Graef B. Barker		Director Name Dennis J. Godfrey			
Street Address 4700 Southern Parkway		Street Address 820 Follin Lane SE			
City Louisville	State KY	Zip 40214	City Vienna	State VA	Zip 22180
Director Name John W. Henry		Director Name Kevin T. Lentz			
Street Address 44 S. Third Street		Street Address 5910 Mineral Pt. Rd.			
City Waterville	State OH	Zip 43566	City Madison	State WI	Zip 53705
10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/>		11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/>			
AUTHORIZED SHARES		ISSUED SHARES			
Number of Shares	Class Series	Par Value	Number of Shares	Class Series	Par Value
2,000 COMM NO PAR VALUE			765	COMMON	\$

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



File Date	5-10-05
Check No.	1692096
By:	
FOR SECRETARY OF STATE USE ONLY	

Kevin S. Thompson, Vice President

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Tracy K. Lien

Signature of Officer

Date

Tracy K. Lien

Print or Type Name of Officer

Assistant Secretary

Title of Officer



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS  
Office of the Secretary of State  
Matthew A. Brown, Secretary of State

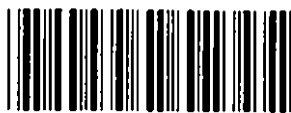
Corporations Division  
100 North Main Street  
Providence, RI 02903-1335  
401.222.3040

# PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2004

Filing Period: January 1 - March 1 • Filing Fee: \$50.00  
(FORM MUST BE TYPED OR PRINTED IN BLACK)

1. Corporate ID No <b>68041</b>		2. Name of Corporation <b>CUNA BROKERAGE SERVICES, INC.</b>			
3. Street Address Principal Business Office <b>5910 Mineral Point Road</b>			City <b>Madison</b>	State <b>WI</b>	Zip <b>53705</b>
4. Business Phone No <b>(608) 238-5851</b>		5. State of Incorporation <b>WISCONSIN</b>			6. SIC Code <b>6064</b>
7. Brief Description of the Character of Business Conducted in Rhode Island <b>TO ENGAGE IN THE RETAIL SALE OF SECURITIES</b>					
8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name <b>Marcia L. Martin</b>			Vice President Name <b>Kevin Lentz</b>		
Street Address <b>2000 Heritage Way</b>			Street Address <b>5910 Mineral Point Road</b>		
City <b>Waverly</b>	State <b>IA</b>	Zip <b>50677</b>	City <b>Madison</b>	State <b>WI</b>	Zip <b>53705</b>
Secretary Name <b>Michael G. Joneson</b>			Treasurer Name <b>Michael G. Joneson</b>		
Street Address <b>5910 Mineral Point Road</b>			Street Address <b>5910 Mineral Point Road</b>		
City <b>Madison</b>	State <b>WI</b>	Zip <b>53705</b>	City <b>Madison</b>	State <b>WI</b>	Zip <b>53705</b>
9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name <b>Grael B. Barker</b>			Director Name <b>Dennis J. Godfrey</b>		
Street Address <b>4700 Southern Parkway</b>			Street Address <b>1007 Electric Avenue</b>		
City <b>Louisville</b>	State <b>KY</b>	Zip <b>40214</b>	City <b>Vienna</b>	State <b>VA</b>	Zip <b>22180</b>
Director Name <b>John W. Henry</b>			Director Name <b>Kevin T. Lentz</b>		
Street Address <b>6135 Trust Drive, Suite 204</b>			Street Address <b>5910 Mineral Point Road</b>		
City <b>Holland</b>	State <b>OH</b>	Zip <b>43528</b>	City <b>Madison</b>	State <b>WI</b>	Zip <b>53705</b>
10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> AUTHORIZED SHARES			11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/> ISSUED SHARES		
Number of Shares <b>2,000 COMM NO PAR VALUE</b>			Number of Shares <b>765</b>		
Class Series <b>NPV</b>			Class Series <b>Common</b>		
Par Value <b>NPV</b>			Par Value <b>NPV</b>		

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



File Date **2-17-05**  
Check No. **1386598**  
By: **TP**  
FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer **Tracy K. Lien** Date \_\_\_\_\_  
Print or Type Name of Officer **Tracy K. Lien**  
Title of Officer **Assistant Secretary**

## **Directors, Officers Report**

**CUNA Brokerage Services, Inc.**

Friday, December 19, 2003

### **DIRECTORS**

Comment:

**Barker, Graef B.** **Director**

Effective: Monday, January 28, 2002

Primary Address: 4700 Southern Parkway  
Louisville, KY 40214

**Godfrey, Dennis J.** **Director**

Effective: Monday, January 28, 2002

Primary Address: Navy Federal Financial Group  
1007 Electric Avenue  
Vienna, VA 22180

**Henry, John W.** **Director**

Effective: Monday, May 04, 1998

Primary Address: 6135 Trust Drive - Suite 204  
Holland, OH 43528

**Lentz, Kevin T.** **Director**

Effective: Monday, January 28, 2002

Primary Address: CUNA Mutual Insurance Society  
P. O. Box 391  
5910 Mineral Point Road  
Madison, WI 53701 USA

**Warshauer, Mark T.** **Director**

Effective: Monday, January 28, 2002

Primary Address: MEMBERS Capital Advisors, Inc.  
5910 Mineral Point Road  
Madison, WI 53705 USA

### **OFFICERS**

**Godfrey, Dennis J.** **Chairman**

Effective: Wednesday, May 08, 2002

Primary Address: Navy Federal Financial Group  
1007 Electric Avenue  
Vienna, VA 22180

**Henry, John W.** **Vice Chairman**

Effective: Wednesday, May 08, 2002

Primary Address: 6135 Trust Drive - Suite 204  
Holland, OH 43528

**Martin, Marcia L.** **President**

Effective: Monday, April 23, 2001

Primary Address: None given

**Joneson, Michael G.** **Secretary**

CUNA Brokerage Services, Inc.

---

Primary Address: CUNA Mutual Group  
1805 South Redwood Road  
Salt Lake City, Utah 84104



STATE OF RHODE ISLAND  
AND PROVIDENCE PLANTATIONS  
Office of the Secretary of State

Edward S. Inman, III, Secretary of State  
Corporations Division  
100 North Main Street, Providence, RI 02903-1335  
401-222-3040



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2003

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED OR PRINTED IN BLACK)

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68041

2. Name of Corporation

CUNA BROKERAGE SERVICES, INC.

3. Street Address Principal Business Office

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

4. Business Phone No.

(608) 238-5851

5. State of Incorporation

WISCONSIN

6. SIC Code

6064

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

To engage in the retail sale of securities and any activities related thereto.

8. NAMES AND ADDRESSES OF THE OFFICERS (\*X\* BOX FOR ATTACHMENT) **FILL IN SPACES BEFORE USING ATTACHMENTS**

President Name

Marcia L. Martin

Street Address

2000 Heritage Way

City

State

Waverly

IA

Zip

50677

Vice President Name

Faye A. Patzner

Street Address

5910 Mineral Point Road

City

State

Madison

WI

Zip

53705

Secretary Name

Michael G. Joneson

Street Address

5910 Mineral Point Road

City

State

Madison

WI

Zip

53705

Treasurer Name

Michael G. Joneson

Street Address

5910 Mineral Point Road

City

State

Madison

WI

Zip

53705

9. NAMES AND ADDRESSES OF THE DIRECTORS (\*X\* BOX FOR ATTACHMENT) **FILL IN SPACES BEFORE USING ATTACHMENTS**

Director Name

Grael B. Barker

Street Address

5910 Mineral Point Road

City

State

Madison

WI

Zip

53705

Director Name

Dennis J. Godfrey

Street Address

5910 Mineral Point Road

City

State

Madison

WI

Zip

53705

Director Name

James E. Gowan

Street Address

5910 Mineral Point Road

City

State

Madison

WI

Zip

53705

Director Name

John W. Henry

Street Address

5910 Mineral Point Road

City

State

Madison

WI

Zip

53705

10. SHARES AUTHORIZED (\*X\* BOX FOR ATTACHMENT)

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

2,000 COMM NO PAR VALUE

11. SHARES ISSUED (\*X\* BOX FOR ATTACHMENT)

ISSUED SHARES

Number of Shares

Class/Series

Par Value

765

Common

NPV

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



\* 6 8 0 4 1 \*

File Date:

3-24-03

Check No.:

1161813

By:

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

*Laurie M. Carlson*

Signature of Officer

Date

2/7/03

Laurie M. Carlson

Print or Type Name of Officer

Assistant Secretary

Title of Officer



Form 630 12/02

## **Directors, Officers Report**

### **CUNA Brokerage Services, Inc.**

#### **DIRECTORS**

**Barker, Grael B.** **Director**

Effective: Monday, January 28, 2002

Primary Address: 4700 Southern Parkway  
Louisville, KY 40214

**Godfrey, Dennis J.** **Director**

Effective: Monday, January 28, 2002

Primary Address: Navy Federal Financial Group  
1007 Electric Avenue  
Vienna, VA 22180

**Gowan, James Edward** **Director**

Effective: Friday, May 12, 2000

Primary Address: CUNA Mutual Group  
5910 Mineral Point Road  
Madison, WI 53705 USA

**Henry, John W.** **Director**

Effective: Monday, May 04, 1998

Primary Address: 6135 Trust Drive - Suite 204  
Holland, OH 43528

**Lentz, Kevin T.** **Director**

Effective: Monday, January 28, 2002

Primary Address: CUNA Mutual Insurance Society  
5910 Mineral Point Road  
Madison, WI 53705 USA

**Warshauer, Mark T.** **Director**

Effective: Monday, January 28, 2002

Primary Address: MEMBERS Capital Advisors, Inc.  
5910 Mineral Point Road  
Madison, WI 53705 USA

#### **OFFICERS**

**Godfrey, Dennis J.** **Chairman**

Effective: Wednesday, May 08, 2002

Primary Address: Navy Federal Financial Group  
1007 Electric Avenue  
Vienna, VA 22180

**Henry, John W.** **Vice Chairman**

Effective: Wednesday, May 08, 2002

Primary Address: 6135 Trust Drive - Suite 204  
Holland, OH 43528

**Martin, Marcia L.** **President**

Effective: Monday, April 23, 2001

Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

**Price, Patricia A.** **Assistant Vice President**

Effective: Thursday, March 01, 2001

Primary Address: CUNA Mutual Life Insurance Company  
2000 Heritage Way  
Waverly, IA 50677 USA

**Sabo, Lynn S.** **Assistant Vice President**

Effective: Thursday, March 01, 2001

Primary Address: CUNA Brokerage Services  
2000 Heritage Way  
Waverly, IA 50677-9202 USA

**Withey, Deborah A.** **Assistant Vice President**

Effective: Thursday, March 01, 2001

Primary Address: CUNA Brokerage Services  
5910 Mineral Point Road  
Madison, WI 53705 USA

**Carlson, Laurie M.** **Assistant Secretary**

Effective: Monday, May 07, 2001

Primary Address: CUNA Mutual Group  
5910 Mineral Point Road  
Madison, WI 53705 USA

**Lien, Tracy K.** **Assistant Secretary**

Effective: Wednesday, June 02, 1999

Primary Address: CUNA Mutual Group  
5910 Mineral Point Road  
Madison, WI 53705 USA

**Willson, Mark K.** **Assistant Secretary**

Effective: Friday, January 25, 2002

Primary Address: CUNA Mutual Group  
5910 Mineral Point Road  
Madison, WI 53705 USA

**Carlson, Timothy L.** **Assistant Treasurer**

Effective: Friday, October 12, 1990

Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

**McCloskey, Geoffrey M.** **Assistant Treasurer**

Effective: Monday, May 07, 2001

Primary Address: CUNA Mutual Group  
5910 Mineral Point Road  
Madison, WI 53705 USA

**Halevan, Timothy S.** **Compliance Officer**

Effective: Friday, June 01, 2001

Primary Address: CUNA Brokerage Services, Inc.  
2000 Heritage Way  
Waverly, IA USA



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Corporations Division  
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401-222-3040



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2002

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. 2. Name of Corporation

68041

CUNA BROKERAGE SERVICES, INC.

3. Street Address Principal Business Office

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

4. Business Phone No.

(608) 231-5851

5. State of Incorporation

WISCONSIN

6. SIC Code

6064

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

To engage in the retail sale of securities and any activities related thereto.

8. NAMES AND ADDRESSES OF THE OFFICERS (\*X\* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

President Name

Marcia L. Martin

Street Address

2000 Heritage Way

City

State

Zip

Waverly

IA

50677-9202

Secretary Name

Michael G. Joneson

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Vice President Name

Faye A. Patzner

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Treasurer Name

Michael G. Joneson

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

9. NAMES AND ADDRESSES OF THE DIRECTORS (\*X\* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

Director Name

Grael B. Barker

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Director Name

Director Name

Dennis J. Godfrey

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Director Name

John W. Henry

Street Address

6135 Trust Drive, Suite 204

City

State

Zip

Holland

OH

43528

10. SHARES AUTHORIZED (\*X\* BOX FOR ATTACHMENT)

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

2,000 COMM NO PAR VALUE

11. SHARES ISSUED (\*X\* BOX FOR ATTACHMENT)

ISSUED SHARES

Number of Shares

Class/Series

Par Value

765

Common

NPV

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



\* 6 8 0 4 1 \*

File Date: 2-27-02

Check No.: 941679

By: 2

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Laurie M. Carlson 2/26/02  
Signature of Officer Date

Laurie M. Carlson

Print or Type Name of Officer

Assistant Secretary

Title of Officer





STATE OF RHODE ISLAND  
AND PROVIDENCE PLANTATIONS  
Office of the Secretary of State

Corporations Division  
100 North Main Street, Providence, RI 02903-1335  
401-222-3040



# PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2001

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1. Corporate ID No. **68041** 2. Name of Corporation **CUNA BROKERAGE SERVICES, INC.**

3. Street Address Principal Business Office  
5910 Mineral Point Road  
City Madison State WI Zip 53705  
4. Business Phone No. 608-231-5851  
5. State of Incorporation **WISCONSIN**  
6. SIC Code **6064**

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

To engage in the retail sale of securities and any activities related thereto.

8. NAMES AND ADDRESSES OF THE OFFICERS (\*X\* BOX FOR ATTACHMENT) **X FILL IN SPACES BEFORE USING ATTACHMENTS**

President Name Wayne A. Benson Street Address 5910 Mineral Point Road City Madison State WI Zip 53705	Vice President Name Faye A. Patzner Street Address 5910 Mineral Point Road City Madison State WI Zip 53705
Secretary Name Michael G. Joneson Street Address 5910 Mineral Point Road City Madison State WI Zip 53705	Treasurer Name Michael G. Joneson Street Address 5910 Mineral Point Road City Madison State WI Zip 53705

9. NAMES AND ADDRESSES OF THE DIRECTORS (\*X\* BOX FOR ATTACHMENT) **X FILL IN SPACES BEFORE USING ATTACHMENTS**

Director Name Wayne A. Benson Street Address 5910 Mineral Point Road City Madison State WI Zip 53705	Director Name Lawrence R. Halverson Street Address 5910 Mineral Point Road City Madison State WI Zip 53705
Director Name John W. Henry Street Address 5910 Mineral Point Road City Madison State WI Zip 53705	Director Name Daniel E. Meylink, Sr. Street Address 5910 Mineral Point Road City Madison State WI Zip 53705

10. SHARES AUTHORIZED (\*X\* BOX FOR ATTACHMENT)

AUTHORIZED SHARES	Number of Shares	Class/Series	Par Value
	2,000	Common	NPV

11. SHARES ISSUED (\*X\* BOX FOR ATTACHMENT)

ISSUED SHARES	Number of Shares	Class/Series	Par Value
	765	Common	NPV

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



\* 6 8 0 4 1 \*

3/5

File Date: \_\_\_\_\_

Check No.: 688460

By: [Signature]

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Helen M. Wagabaza 01-31-01  
Signature of Officer Date

Helen M. Wagabaza  
Print or Type Name of Officer

Assistant Secretary  
Title of Officer

## **Directors, Officers Report**

### **CUNA Brokerage Services, Inc.**

#### **DIRECTORS**

Comment:

**Wayne A. Benson** **Director**

Effective: Monday, May 04, 1998

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**James E. Gowan** **Director**

Effective: Friday, May 12, 2000

Primary Address: CUNA Mutual Group  
2400 Pleasant Hill Road - Suite 200  
Duluth, GA 30096

**Lawrence R. Halverson** **Director**

Effective: Wednesday, November 06, 1996

Primary Address: MEMBERS Capital Advisors, Inc.  
5910 Mineral Point Road  
Madison, WI 53705 USA

**John W. Henry** **Director**

Effective: Monday, May 04, 1998

Primary Address: 6135 Trust Drive - Suite 204  
Holland, OH 43528

**Marcia L. Martin** **Director**

Effective: Friday, May 12, 2000

Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

**Daniel E. Meylink, Sr.** **Director**

Effective: Thursday, November 19, 1998

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

#### **OFFICERS**

**Michael G. Joneson** **Secretary**

Effective: Tuesday, June 17, 1997

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Treasurer**

Effective: Saturday, September 01, 1990

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Wayne A. Benson** **President**

Effective: Monday, May 04, 1998

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

CUNA Brokerage Services, Inc.

---

**David S. Emery** Vice President  
Effective: Friday, April 14, 2000  
Primary Address: 33320 9th Avenue South  
Suite 250  
Federal Way, WA 98003

**John W. Henry** Vice President  
Effective: Monday, May 04, 1998  
Primary Address: 6135 Trust Drive - Suite 204  
Holland, OH 43528

**Daniel J. LaRocque** Vice President  
Effective: Friday, June 30, 2000  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Faye A. Patzner** Vice President  
Effective: Wednesday, June 02, 1999  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Gregory A. Zanowski** Vice President  
Effective: Tuesday, February 01, 2000  
Primary Address: CUNA Mutual Group - MWMD  
15800 N Haggerty Rd #101  
Plymouth, MI 48170

**John C. Fritsche** Assistant Vice President  
Effective: Friday, December 06, 1996  
Primary Address: 4455 LBJ Freeway  
Farmers Branch, TX 75234

**Marcia L. Martin** Assistant Vice President  
Effective: Friday, June 30, 2000  
Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

**Donna C. Blankenheim** Assistant Secretary  
Effective: Friday, October 12, 1990  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Janice C. Doyle** Assistant Secretary  
Effective: Tuesday, May 07, 1991  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Tracy K. Gunderson** Assistant Secretary  
Effective: Wednesday, June 02, 1999  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Barbara L. Secor** Assistant Secretary  
Effective: Tuesday, May 05, 1992  
Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

CUNA Brokerage Services, Inc.

---

**Helen M. Wagabaza** **Assistant Secretary**

Effective: Wednesday, June 02, 1999

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Joseph L. Bauer** **Assistant Treasurer**

Effective: Wednesday, June 02, 1999

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Timothy L. Carlson** **Assistant Treasurer**

Effective: Friday, October 12, 1990

Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

**Mark C. Eisenmann** **Associate Compliance Officer**

Effective: Friday, June 30, 2000

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Campbell D. McHugh** **Compliance Officer**

Effective: Saturday, September 01, 1990

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Andrew C. Osen** **Associate Compliance Officer**

Effective: Wednesday, June 02, 1999

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Brian L. Schroeder** **Associate Compliance Officer**

Effective: Wednesday, June 02, 1999

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**John W. Wiley** **Associate Compliance Officer**

Effective: Tuesday, June 17, 1997

Primary Address: 5910 Mineral Point Road  
Madison, WI 53705



# PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2000

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608/238-5851

5. State of Incorporation

**WISCONSIN**

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

To engage in the retail sale of securities and any activities related thereto.

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President Name

Wayne A. Benson

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Secretary Name

Michael G. Joneson

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Vice President Name

Scott Vignovich

Street Address

2000 Heritage Way

City

State

Zip

Waverly

IA

50677

Treasurer Name

Michael G. Joneson

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

9. NAMES AND ADDRESSES OF THE DIRECTORS (\*X\* BOX FOR ATTACHMENT) **FILL IN SPACES BEFORE USING ATTACHMENTS**

Director Name

Wayne A. Benson

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Director Name

John W. Henry

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Director Name

Lawrence R. Halverson

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

Director Name

Daniel E. Meylink, Sr.

Street Address

5910 Mineral Point Road

City

State

Zip

Madison

WI

53705

10. SHARES AUTHORIZED (\*X\* BOX FOR ATTACHMENT)

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

2,000

Common

NPV

11. SHARES ISSUED (\*X\* BOX FOR ATTACHMENT)

ISSUED SHARES

Number of Shares

Class/Series

Par Value

765

Common

NPV

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



\* 6 8 0 4 1 \*

File Date: 3/1/00

Check No.: 476912

By: du

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Helen M. Wagabara 2/29/2000  
Signature of Officer Date

Helen M. Wagabara  
Print or Type Name of Officer

Assistant Secretary  
Title of Officer

## **Directors, Officers Report**

### **CUNA Brokerage Services, Inc.**

#### **DIRECTORS**

**Wayne A. Benson** **Director**  
Effective: May 04, 1998  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Lawrence R. Halverson** **Director**  
Effective: November 06, 1996  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705 USA

**John W. Henry** **Director**  
Effective: May 04, 1998  
Primary Address: 6135 Trust Drive - Suite 104  
Holland, OH 43528

**Daniel E. Meylink, Sr.** **Director**  
Effective: November 19, 1998  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Scott Vignovich** **Director**  
Effective: May 04, 1998  
Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

#### **OFFICERS**

**Michael G. Joneson** **Secretary**  
Effective: June 17, 1997  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Treasurer**  
Effective: September 01, 1990  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Wayne A. Benson** **President**  
Effective: May 04, 1998  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**John W. Henry** **Vice President**  
Effective: May 04, 1998  
Primary Address: 6135 Trust Drive - Suite 104  
Holland, OH 43528



STATE OF RHODE ISLAND  
AND PROVIDENCE PLANTATIONS,  
Office of the Secretary of State

James R. Langevin, Secretary of State  
Corporations Division  
100 North Main Street, Providence, RI 02903-1335  
401-222-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR **1999**

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)



1. Corporate ID No <b>68041</b>		2. Name of Corporation <b>CUNA BROKERAGE SERVICES, INC.</b>			
3. Street Address Principal Business Office <b>5910 Mineral Point Road</b>		City <b>Madison</b>	State <b>WI</b>		
4. Business Phone No. <b>608/238-5851</b>		5. State of Incorporation <b>WISCONSIN</b>	6. SIC Code <b>6064</b>		
7. Brief Description of the Character of Business Conducted in Rhode Island To engage in the retail sale of securities and any activities related thereto.					
8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) <input checked="" type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name <b>Wayne A. Benson</b>		Vice President Name <b>John W. Henry</b>			
Street Address <b>5910 Mineral Point Road</b>		Street Address <b>6135 Trust Drive, Ste 104</b>			
City <b>Madison</b>	State <b>WI</b>	City <b>Holland</b>	State <b>OH</b>		
Zip <b>53705</b>		Zip <b>43528</b>			
Secretary Name <b>Michael G. Joneson</b>		Treasurer Name <b>Michael G. Joneson</b>			
Street Address <b>5910 Mineral Point Road</b>		Street Address <b>5910 Mineral Point Road</b>			
City <b>Madison</b>	State <b>WI</b>	City <b>Madison</b>	State <b>WI</b>		
Zip <b>53705</b>		Zip <b>53705</b>			
9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT) <input checked="" type="checkbox"/> FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name <b>Wayne A. Benson</b>		Director Name <b>Lawrence R. Halverson</b>			
Street Address <b>5910 Mineral Point Road</b>		Street Address <b>5910 Mineral Point Road</b>			
City <b>Madison</b>	State <b>WI</b>	City <b>Madison</b>	State <b>WI</b>		
Zip <b>53705</b>		Zip <b>53705</b>			
Director Name <b>John W. Henry</b>		Director Name <b>Daniel E. Meylink, Sr.</b>			
Street Address <b>6135 Trust Drive, Ste 104</b>		Street Address <b>5910 Mineral Point Road</b>			
City <b>Holland</b>	State <b>OH</b>	City <b>Madison</b>	State <b>WI</b>		
Zip <b>43528</b>		Zip <b>53705</b>			
10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT)		11. SHARES ISSUED (*X* BOX FOR ATTACHMENT)			
AUTHORIZED SHARES		ISSUED SHARES			
Number of Shares	Class/Series	Par Value	Number of Shares	Class/Series	Par Value
<b>2,000</b>	<b>Common</b>	<b>NPV</b>	<b>765</b>	<b>Common</b>	<b>NPV</b>

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



\* 6 8 0 4 1 \*

File Date: May 1, 1999

Check No.: 233490

By: [Signature]

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer:

Date  
2/23/99

Jason E. Smith

Print or Type Name of Officer

Assistant Secretary

Title of Officer

## **Directors, Officers Report**

### **CUNA Brokerage Services, Inc.**

#### **DIRECTORS**

**Wayne A. Benson** **Director**  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Lawrence R. Halverson** **Director**  
Primary Address: CIMCO Inc.  
5910 Mineral Point Road  
Madison, WI 53705

**John W. Henry** **Director**  
Primary Address: 6135 Trust Drive - Suite 104  
Holland, OH 43528

**Daniel E. Meylink, Sr.** **Director**  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Scott Vignovich** **Director**  
Primary Address: 2000 Heritage Way  
Waverly, IA 50677-9202

#### **OFFICERS**

**Michael G. Joneson** **Secretary**  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Treasurer**  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Wayne A. Benson** **President**  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**Brian C. Lasko** **Managing Principal**  
Primary Address: 2000 Heritage Way  
Waverly, Iowa 50677

**John M. Waggoner** **Chief Officer**  
Primary Address: 5910 Mineral Point Road  
Madison, WI 53705

**John W. Henry** **Vice President**  
Primary Address: 6135 Trust Drive - Suite 104  
Holland, OH 43528



CUNA Brokerage Services, Inc.

---

<b>Sandra K. Steffeney</b> Primary Address:	<b>Vice President</b> CUNA Mutual Group - NWMD 33320 9 <sup>th</sup> Ave S Ste 250 Federal Way, WA 98003
<b>Scott Vignovich</b> Primary Address:	<b>Vice President</b> 2000 Heritage Way Waverly, IA 50677-9202
<b>John C. Fritsche</b> Primary Address:	<b>Assistant Vice President</b> Members Investment Services, Inc 4455 LBJ Freeway Suite 1108 Dallas, TX 75244
<b>Donna C. Blankenheim</b> Primary Address:	<b>Assistant Secretary</b> 5910 Mineral Point Road Madison, WI 53705
<b>Janice C. Doyle</b> Primary Address:	<b>Assistant Secretary</b> 5910 Mineral Point Road Madison, WI 53705
<b>Barbara L. Secor</b> Primary Address:	<b>Assistant Secretary</b> 2000 Heritage Way Waverly, IA 50677-9202
<b>Jason E. Smith</b> Primary Address:	<b>Assistant Secretary</b> 5910 Mineral Point Road Madison, WI 53705
<b>Timothy L. Carlson</b> Primary Address:	<b>Assistant Treasurer</b> 2000 Heritage Way Waverly, IA 50677-9202
<b>Michael A. Ullsperger</b> Primary Address:	<b>Assistant Treasurer</b> 5910 Mineral Point Road Madison, WI 53705



STATE OF RHODE ISLAND  
AND PROVIDENCE PLANTATIONS  
Office of the Secretary of State

James R. Langevin, Secretary of State  
Corporations Division  
100 North Main Street, Providence, RI 02903-1335  
401-277-3040



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 1998

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No.

2. Name of Corporation

68041

CUNA Brokerage Services, Inc.

3. Street Address Principal Business Office

City

State

Zip

5910 Mineral Point Road

Madison

WI

53705

4. Business Phone No.

5. State of Incorporation

(608) 238-5851

Wisconsin

6. SIC Code

6064

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

To engage in the retail sale of securities an any activities related thereto.

8. NAMES AND ADDRESSES OF THE OFFICERS (\*X\* BOX FOR ATTACHMENT)

President Name

Vice President Name

Lawrence R. Halverson

Marc A. Krasnick

Street Address

Street Address

5910 Mineral Point Road

5910 Mineral Point Road

City

State

Zip

City

State

Zip

Madison

WI

53705

Madison

WI

53705

Secretary Name

Treasurer Name

Michael G. Joneson

Michael G. Joneson

Street Address

Street Address

5910 Mineral Point Road

5910 Mineral Point Road

City

State

Zip

City

State

Zip

Madison

WI

53705

Madison

WI

53705

9. NAMES AND ADDRESSES OF THE DIRECTORS (\*X\* BOX FOR ATTACHMENT)

Director Name

Director Name

Lawrence R. Halverson

Marc A. Krasnick

Street Address

Street Address

5910 Mineral Point Road

5910 Mineral Point Road

City

State

Zip

City

State

Zip

Madison

WI

53705

Madison

WI

53705

Director Name

Director Name

Michael G. Joneson

Street Address

Street Address

5910 Mineral Point Road

City

State

Zip

City

State

Zip

Madison

WI

53705

10. SHARES AUTHORIZED (\*X\* BOX FOR ATTACHMENT)

11. SHARES ISSUED (\*X\* BOX FOR ATTACHMENT)

AUTHORIZED SHARES

ISSUED SHARES

Number of Shares

Class/Series

Par Value

Number of Shares

Class/Series

Par Value

2,000

Common

NPV

765

Common

NPV

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

File Date:

3-3-98

Check No.:

89147

By:

100

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer

Michael G. Joneson

2/26/98

Date

Michael G. Joneson

Print or Type Name of Officer

Secretary/Treasurer

Title of Officer



STATE OF RHODE ISLAND  
AND PROVIDENCE PLANTATIONS  
Office of the Secretary of State

James R. Langevin, Secretary of State  
Corporations Division  
100 North Main Street, Providence, RI 02903-1335  
401-277-3040



**PROFIT CORPORATION ANNUAL REPORT 1997**

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No.

68041

2. Name of Corporation

CUNA BROKERAGE SERVICES, INC.

3. Street Address Principal Business Office

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

4. Business Phone No.

(608) 238-5851

5. State of Incorporation

WISCONSIN

6. SIC Code

6064

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

To engage in the retail sale of securities and any activities related thereto.

8. NAMES AND ADDRESSES OF THE OFFICERS (\*X\* BOX FOR ATTACHMENT)

President Name

Lawrence R. Halverson

Street Address

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

Vice President Name

Marc A. Krasnick

Street Address

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

Secretary Name

Steven A. Goldberg

Street Address

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

Treasurer Name

Michael G. Joneson

Street Address

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

9. NAMES AND ADDRESSES OF THE DIRECTORS (\*X\* BOX FOR ATTACHMENT)

Director Name

Gary L. Cutler

Street Address

5910 Mineral Point Road

City

Madison

State

WI

Zip

53705

Director Name

Street Address

City

State

Zip

Director Name

Street Address

City

State

Zip

10. SHARES AUTHORIZED AND ISSUED (\*X\* BOX FOR ATTACHMENT)

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

2,000

Common

NPV

ISSUED SHARES

Number of Shares

Class/Series

Par Value

765

Common

NPV

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



\* 6 8 0 4 1 \*

File Date: 3.3.97

Check No.: 196350

By: KGP

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer: Steven A. Goldberg Date: 2/26/97

Print or Type Name of Officer: Steven A. Goldberg

Title of Officer: Secretary

# PROFIT CORPORATION ANNUAL REPORT

1996



State of Rhode Island and Providence Plantations  
James R. Langevin, *Secretary of State*  
Corporations Division  
100 North Main Street  
Providence, Rhode Island 02903-1335 • (401) 277-3040

Filing Period: January 1-March 1

Filing Fee: \$50.00

PLEASE TYPE OR PRINT IN BLACK INK.

BOV REG. JAN 05 1996

1. CORPORATE ID NO. <b>68041</b>		2. NAME OF CORPORATION <b>CUNA BROKERAGE SERVICES, INC.</b>			
3. STREET ADDRESS PRINCIPAL BUSINESS OFFICE <b>5910 Mineral Point Road</b>		CITY <b>Madison</b>	STATE <b>WI</b>		
		ZIP CODE <b>53705</b>			
4. BUSINESS PHONE NO. <b>(608) 238-5851</b>		5. STATE OF INCORPORATION <b>WISCONSIN</b>			
		6. SIC CODE <b>8888</b>			
7. BRIEF DESCRIPTION OF THE CHARACTER OF BUSINESS CONDUCTED IN RHODE ISLAND <b>To engage in the retail sale of securities and any activities related thereto.</b>					
8. NAMES AND ADDRESSES OF THE OFFICERS					
PRESIDENT NAME <b>Joseph P. Tripalin</b>		VICE PRESIDENT NAME <b>William W. Sayles</b>			
STREET ADDRESS <b>5910 Mineral Point Road</b>		STREET ADDRESS <b>5910 Mineral Point Road</b>			
CITY <b>Madison</b>	STATE <b>WI</b>	CITY <b>Madison</b>	STATE <b>WI</b>		
ZIP CODE <b>53705</b>		ZIP CODE <b>53705</b>			
SECRETARY NAME <b>Steven A. Goldberg</b>		TREASURER NAME <b>Michael G. Joneson</b>			
STREET ADDRESS <b>5910 Mineral Point Road</b>		STREET ADDRESS <b>2000 Heritage Way</b>			
CITY <b>Madison</b>	STATE <b>WI</b>	CITY <b>Waverly</b>	STATE <b>IA</b>		
ZIP CODE <b>53705</b>		ZIP CODE <b>50677</b>			
9. NAMES AND ADDRESSES OF THE DIRECTORS					
DIRECTOR NAME <b>Gary L. Cutler</b>		DIRECTOR NAME			
STREET ADDRESS <b>5910 Mineral Point Road</b>		STREET ADDRESS			
CITY <b>Madison</b>	STATE <b>WI</b>	CITY	STATE		
ZIP CODE <b>53705</b>		ZIP CODE			
DIRECTOR NAME		DIRECTOR NAME			
STREET ADDRESS		STREET ADDRESS			
CITY	STATE	CITY	STATE		
ZIP CODE		ZIP CODE			
10. SHARES AUTHORIZED AND ISSUED					
AUTHORIZED SHARES			ISSUED SHARES		
NUMBER OF SHARES	CLASS / SERIES	PAR VALUE	NUMBER OF SHARES	CLASS / SERIES	PAR VALUE
<b>2,000</b>	<b>Common</b>	<b>NPV</b>	<b>765</b>	<b>Common</b>	<b>NPV</b>

This report must be **SIGNED IN INK** by either the  
President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

*Steven A. Goldberg*  
Signature of Officer

**Steven A. Goldberg**  
Print or Type Name of Officer

**Secretary**  
Title of Officer

**1/31/96**  
Date

File Date:

Check No:

By:

For Secretary of State Use Only

**2/5/96**  
**160841**  
**ME59/4P**

## State of Rhode Island and Providence Plantations



## Office of The Secretary of State

100 North Main Street

Providence, Rhode Island 02903-1335

401-277-3040

**ANNUAL REPORT**

Please Type or Print

File Annually - Jan. 1 - March 1

Filing Fee \$50.00

Make Checks Payable to: Secretary of State

**ALL ENTRIES MUST BE COMPLETED IN FULL OR THE FORM WILL BE RETURNED.**

0068041

1995

Corporate ID:

Annual Report for the year:

CUNA BROKERAGE SERVICES, INC.

Name of Corporation:

Business entity organized under the laws of the State of: Wisconsin

Business Entity is (check one):

For foreign entity, address and telephone number of principal office:

☒ Business Corporation (See RIGL Chapter 7-1.1)

5910 Mineral Point Road

☐ Professional Service Corporation (See RIGL Chapter 7-5.1)

Madison, WI 53705

Phone: ( 608 ) 238-5851

Brief statement of the character of business conducted in Rhode Island.

Address and telephone of the principal office of business entity in Rhode Island (Provide street address - Not P.O. Box):

To engage in the retail sale of securities and any activities related thereto.

Phone: ( )

**THE NAMES OF THE OFFICERS ARE:**

OFFICER	STREET ADDRESS	CITY/STATE	ZIP CODE
PRESIDENT	Robert W. Bush 5910 Mineral Point Road, Madison, WI	53705	
VICE PRESIDENT	William W. Sayles 5910 Mineral Point Road, Madison, WI	53705	
SECRETARY	Steven A. Goldberg 5910 Mineral Point Road, Madison, WI	53705	
TREASURER	Michael G. Joneson 2000 Heritage Way, Waverly, IA	50677	

**THE NAMES OF THE DIRECTORS ARE: All of the above plus:**

NAME	STREET ADDRESS	CITY/STATE	ZIP CODE
Gary L. Cutler	2000 Heritage Way, Waverly, IA	50677	
NAME	STREET ADDRESS	CITY/STATE	ZIP CODE
NAME	STREET ADDRESS	CITY/STATE	ZIP CODE

NUMBER OF SHARES AUTHORIZED (Rider may be attached)

NUMBER OF SHARES ISSUED AND OUTSTANDING (Rider may be attached)

Number of Shares	Class / Series
2,000	Common / N/A

Number of Shares	Class / Series
765	Common / N/A

Date February 15 19 95

By:

Steven A. Goldberg

PRINT OR TYPE NAME OF OFFICER SIGNING

Secretary

Form 31 1-95

TITLE OF OFFICER SIGNING

**DESIGNATED REGISTERED AGENT FOR SERVICE OF PROCESS:**

PLEASE NOTE: If the registered office and/or registered agent indicated below is incorrect, Form 9 must be filed.

MARGARITA WECAL  
7 WAKE ROBIN RD, UNIT 904  
LINCOLN RI 02865

**FILED**

FEB 21 1995

By CC 129520

Filing Fee \$50.00  
Payable to  
Secretary of State

PLEASE TYPE OR PRINT  
State of Rhode Island and Providence Plantations  
Office of The Secretary of State  
100 North Main Street  
Providence, Rhode Island 02903-1335  
401-277-3040

File Annually  
LLC Sept 1 - Nov 1  
CORP Jan 1 - March 1

Corporate ID: 68041 Annual Report for the year: 1994

Name of Business Entity: CUNA Brokerage Services, Inc.

Business entity organized under the laws of the State of: Wisconsin

Federal Taxpayer Identification Number: \_\_\_\_\_

For foreign entity, address and telephone number of principal office:  
5910 Mineral Point Road

Madison, WI 53705

Phone: (608) 238-5851

Address and telephone of the principal office of business entity in Rhode Island (Provide street address - Not P.O. Box)

Phone: \_\_\_\_\_

Business Entity is (check one)

- ☒ Business Corporation (See RIGL Chapter 7-1.1)  
☐ Professional Service Corporation (See RIGL Chapter 7-5.1)  
☐ Limited Liability Company (See RIGL 7-16)

Name, title and mailing address of contact person to whom communications may be directed

Barbara A. Monson 3H-6

CUNA Mutual Insurance Group

5910 Mineral Point Road

Madison, WI 53705

Brief statement of the character of business conducted in Rhode Island  
to engage in the retail sale of securities  
and any activities related thereto.

Date of Organization 5/11/83

Date of Qualification to do business in Rhode Island (if foreign entity)  
10/04/91

THE NAMES OF THE OFFICERS ARE:

NAME	STREET ADDRESS	CITY/STATE	ZIP CODE
<input checked="" type="checkbox"/> CHIEF EXECUTIVE OFFICER OR <input checked="" type="checkbox"/> PRESIDENT/CEO & Dir. <u>Robert W. Bush</u>	<u>5910 Mineral Point Road</u>	<u>Madison, WI</u>	<u>53705</u>
<input type="checkbox"/> CHIEF FINANCIAL OFFICER OR <input checked="" type="checkbox"/> VICE PRESIDENT/CONTROLLER & Dir. <u>William W. Sayles</u>	<u>5910 Mineral Point Road</u>	<u>Madison, WI</u>	<u>53705</u>
<input type="checkbox"/> CLERK OF RECORDS OR <input checked="" type="checkbox"/> SECRETARY/TREASURER & Dir. <u>Steven A. Goldberg</u>	<u>5910 Mineral Point Road</u>	<u>Madison, WI</u>	<u>53705</u>
<input type="checkbox"/> CHIEF FINANCIAL OFFICER OR <input checked="" type="checkbox"/> TREASURER/CONTROLLER & Dir. <u>Michael G. Joneson</u>	<u>2000 Heritage Way</u>	<u>Waverly, IA</u>	<u>50677</u>

THE NAMES OF THE DIRECTORS ARE:

NAME	STREET ADDRESS	CITY/STATE	ZIP CODE
<u>Gary L. Cutler</u>	<u>2000 Heritage Way</u>	<u>Waverly, IA</u>	<u>50677</u>

NUMBER OF SHARES AUTHORIZED (If Applicable)	NUMBER OF SHARES ISSUED AND OUTSTANDING (If Applicable)
NUMBER <u>2,000</u>	NUMBER <u>765</u>
CLASS <u>Common</u>	CLASS <u>Common</u>
SERIES <u>N/A</u>	SERIES <u>N/A</u>
PAR VALUE OR WITHOUT PAR <u>NPV</u>	PAR VALUE OR WITHOUT PAR <u>NPV</u>

Date August 16, 94 By Steven A. Goldberg

FILED

NOV 28 1994

BY [Signature] 197798

Steven A. Goldberg

PRINCIPAL OFFICER SIGNING

Secretary

STATE OF OFFICER SIGNING

Form 31 1994

DESIGNATED REGISTERED OR RESIDENT AGENT FOR SERVICE OF PROCESS:

PLEASE NOTE: If the Corporation has changed its registered office and/or registered or resident agent, Form 9 or Form LLC 3 must be filed

NOV 28 1994  
197798

## State of Rhode Island and Providence Plantations

CORPORATIONS DIVISION  
100 NORTH MAIN STREET  
PROVIDENCE, RHODE ISLAND 02903

Corporate ID 68041

Annual Report for the year 1993

FIRST: The name of the corporation is CUNA Brokerage Services, Inc.

SECOND: It is incorporated under the laws of Wisconsin.

THIRD: Character of business, briefly stated, is to engage in the retail sale of securities and any activities related thereto.

FOURTH: If foreign corporation, address of its principal office 5910 Mineral Point Road,  
Madison, WI 53705.

FIFTH: Business address in Rhode Island

SIXTH: Names and addresses of its directors and officers:

(Attach rider if necessary)

Name	Office	Address (including number, street, zip code)
Gary L. Cutler	Director	2000 Heritage Way, Waverly, IA 50677
	Director	
	Director	
Robert W. Bush	President&Dir.	5910 Mineral Point Road, Madison, WI 53705
William W. Sayles	Vice President&Dir.	5910 Mineral Point Road, Madison, WI 53705
Steven A. Goldberg	Secretary&Dir.	5910 Mineral Point Road, Madison, WI 53705
Michael G. Joneson	Treasurer&Dir.	2000 Heritage Way, Waverly, IA 50677

SEVENTH: Number of Shares authorized:

No. of Shares  
2,000Class  
CommonSeries  
N/APar Value  
or statement that  
shares are without  
par value  
NPV

EIGHTH: Number of Shares issued:

No. of Shares  
765Class  
CommonSeries  
N/APar Value  
or statement that  
shares are without  
par value  
NPV

FILED

NOV 28 1994

By

N/A

Dated August 16, 1994

CUNA Brokerage Services, Inc.

(Name of Corporation)

By

Steven A. Goldberg

Title

Secretary

(Report must be signed by an officer)

# State of Rhode Island and Providence Plantations

CORPORATIONS DIVISION  
100 NORTH MAIN STREET  
PROVIDENCE, RHODE ISLAND 02903

Corporate ID 68041

Annual Report for the year 1992

FIRST: The name of the corporation is CUNA Brokerage Services, Inc.

SECOND: It is incorporated under the laws of Wisconsin.

THIRD: Character of business, briefly stated, is to engage in the retail sale of securities  
and any activities related thereto.

FOURTH: If foreign corporation, address of its principal office 5910 Mineral Point Road,  
Madison, WI 53705.

FIFTH: Business address in Rhode Island

SIXTH: Names and addresses of its directors and officers: (Attach rider if necessary)

Name	Office	Address (including number, street, zip code)
	Director	
Donald J. Dybiec	Director	2000 Heritage Way, Waverly, IA 50677
	Director	
Robert W. Bush	President & Dir.	5910 Mineral Point Road, Madison, WI 53705
William W. Sayles	Vice President & Dir.	5910 Mineral Point Road, Madison, WI 53705
Steven A. Goldberg	Secretary & Dir.	5910 Mineral Point Road, Madison, WI 53705
Michael G. Joneson	Treasurer & Dir.	2000 Heritage Way, Waverly, IA 50677

SEVENTH: Number of Shares authorized:

No. of Shares	Class	Series
2000	Common	N/A

Par Value  
or statement that  
shares are without  
par value

NPV

EIGHTH: Number of Shares issued:

No. of Shares	Class	Series
765	Common	N/A

Par Value  
or statement that  
shares are without  
par value

NPV

Dated August 16, 19 94

CUNA Brokerage Services, Inc.  
(Name of Corporation)

By Steven A. Goldberg  
Steven A. Goldberg

Title Secretary

(Report must be signed by an officer)