

2012 FOR PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# F11000002139

FILED
Jun 20, 2012
Secretary of State

Entity Name: CETERA FINANCIAL GROUP, INC.

Current Principal Place of Business:

200 N. SEPULVEDA BLVD.
SUITE 1200
EL SEGUNDO, CA 90245

New Principal Place of Business:

Current Mailing Address:

200 N. SEPULVEDA BLVD.
SUITE 1200
EL SEGUNDO, CA 90245

New Mailing Address:

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

FEI Number: 30-0588666

FEI Number Applied For ()

FEI Number Not Applicable ()

Certificate of Status Desired ()

Name and Address of Current Registered Agent:

C T CORPORATION SYSTEM
1200 SOUTH PINE ISLAND ROAD
PLANTATION, FL 33324 US

Name and Address of New Registered Agent:

The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE:

Electronic Signature of Registered Agent

Date

OFFICERS AND DIRECTORS:

Title: D
Name: MARRON, DONALD B
Address: 375 PARK AVENUE, 11TH FLOOR
City-St-Zip: NEW YORK, NY 10152

Title: D
Name: VASSALLO, MARK F
Address: 375 PARK AVENUE, 11TH FLOOR
City-St-Zip: NEW YORK, NY 10152

Title: D
Name: GROSS, STEWART K
Address: 375 PARK AVENUE, 11TH FLOOR
City-St-Zip: NEW YORK, NY 10152

Title: T
Name: SHELSON, MARK P
Address: 400 FIRST STREET SOUTH
City-St-Zip: ST. CLOUD, MN 56301

Title: CFO
Name: FROJEN, JON C
Address: 200 N. SEPULVEDA BLVD. #1200
City-St-Zip: EL SEGUNDO, CA 90245

Title: DCEO
Name: BROWN, VALERIE G
Address: 200 N. SEPULVEDA BLVD. #1200
City-St-Zip: EL SEGUNDO, CA 90245

I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears above, or on an attachment with all other like empowered.

SIGNATURE: GREG A. OLSON

AS

06/20/2012

Electronic Signature of Signing Officer or Director

Date