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TALLAHASSEE, FLORIDA

W15000030707

6/2/15

COVER LETTER

TO: New Filing Section
Division of Corporations

SUBJECT: Honkamp Krueger Financial Services, Inc.

Name of corporation - must include suffix

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," or "Certificate of Good Standing" and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Jennifer L. Daughetee

Name of Person

Honkamp Krueger Services, Inc.

Firm/Company

2345 JFK Road

Address

Dubuque, IA 52002

City/State and Zip code

jdaughetee@honkamp.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Jennifer L. Daughetee at (563) 556-0123

Name of Person

Area Code & Daytime Telephone Number

STREET/COURIER ADDRESS:

New Filing Section
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, FL 32301

MAILING ADDRESS:

New Filing Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

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Enclosed is a check for the following amount:

- ☒ \$70.00 Filing Fee ☐ \$78.75 Filing Fee & Certificate of Status ☐ \$78.75 Filing Fee & Certified Copy ☐ \$87.50 Filing Fee, Certificate of Status & Certified Copy



FLORIDA DEPARTMENT OF STATE
Division of Corporations

April 30, 2015

JENNIFER L. DAUGHETEE
2345 JFK ROAD
DUBUQUE, IA 52002

SUBJECT: HONKAMP KRUEGER FINANCIAL SERVICES, INC.
Ref. Number: W15000030707

We have received your document for HONKAMP KRUEGER FINANCIAL SERVICES, INC. and your check(s) totaling \$70.00. However, the document has not been filed and is being retained in this office for the following:

According to the application submitted to this office, this entity transacted business in the state of Florida before properly registering with the Florida Department of State, Division of Corporations. Consequently, a \$500 civil penalty and an annual report filing fee for each year the entity failed to properly file a Florida annual report are due this office. Based on the date entered on the application, the civil penalty and annual report filing fees total \$950.00.

If you have any further questions concerning your document, please call (850) 245-6052.

Claretha Golden
Regulatory Specialist II
New Filing Section

Letter Number: 515A00008931

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DEPARTMENT OF STATE
TALLAHASSEE, FLORIDA

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT
BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. Honkamp Krueger Financial Services, Inc.

(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. Iowa

(State or country under the law of which it is incorporated)

3. _____

(FEI number, if applicable)

4. 12/01/1995

(Date of incorporation)

5. Perpetual

(Duration: Year corp. will cease to exist or "perpetual")

6. 06/15/2012

(Date first transacted business in Florida, if prior to registration)

(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 3390 Asbury Road, Dubuque, IA 52002

(Principal office address)

3390 Asbury Road, Dubuque, IA 52002

(Current mailing address)

8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name:

Mike Carignan

Office Address:

328 Welbeck Place

St Johns

(City)

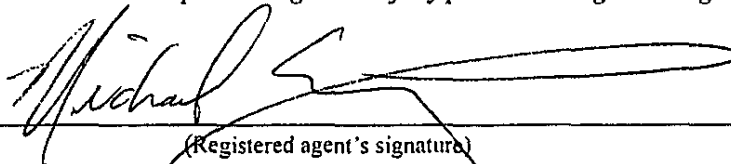
, Florida

32259

(Zip code)

9. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.



(Registered agent's signature)

10. Attached is a certificate of existence ~~duly authenticated~~, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

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TALLAHASSEE, FLORIDA

11. Names and business addresses of officers and/or directors:

A. DIRECTORS

Chairman: See attached list

Address: _____

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

B. OFFICERS

President: See attached list.

Address: _____

Vice President: _____

Address: _____

Secretary: _____

Address: _____

Treasurer: _____

Address: _____

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

12. 
Signature of Director or Officer

The officer or director signing this document (and who is listed in number 12 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

13. JOHN DARRAGH, CEO

(Typed or printed name and capacity of person signing application)

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TALLAHASSEE, FLORIDA

11. Officers and Directors and Addresses

Chairman and CEO: John Darrah, 3390 Asbury Road, Dubuque, IA 52002
President: Louie Rosalez, 3390 Asbury Road, Dubuque, IA 52002
EVP, Chief Compliance Officer, and Secretary: Jim Herrig, 3390 Asbury Road, Dubuque, IA 52002
Treasurer: Jennifer L. Daughetee, 3390 Asbury Road, Dubuque, IA 52002
EVP, Chief Investment Officer: Ann McCorkindale, 3390 Asbury Road, Dubuque, IA 52002
EVP, National Sales Manager: Brian Cose, 3390 Asbury Road, Dubuque, IA 52002
VP – Fixed Income Strategist: Ivan Gruhl, 3390 Asbury Road, Dubuque, IA 52002
VP – National Accounts: Jim Siemonsma, 3390 Asbury Road, Dubuque, IA 52002
VP-Senior Financial Advisor: Brian Russ, 3390 Asbury Road, Dubuque, IA 52002
AVP, Director Of Retirement Plan Services: Kevin Dement, 3390 Asbury Road, Dubuque, IA 52002
Compliance Officer: Jan LaBonne, 3390 Asbury Road, Dubuque, IA 52002

Directors:

Gregory C. Burbach, 3390 Asbury Road, Dubuque, IA 52002

Brian Cose, 3390 Asbury Road, Dubuque, IA 52002

John Darrah, 3390 Asbury Road, Dubuque, IA 52002

Jennifer L. Daughetee, 3390 Asbury Road, Dubuque, IA 52002

Ryan J. Hauber, 3390 Asbury Road, Dubuque, IA 52002

Ronald Helle, 3390 Asbury Road, Dubuque, IA 52002

Jim Herrig, 3390 Asbury Road, Dubuque, IA 52002

Natalie B. Hoffmann, 3390 Asbury Road, Dubuque, IA 52002

Dale Leibfried, 3390 Asbury Road, Dubuque, IA 52002

Ann McCorkindale, 3390 Asbury Road, Dubuque, IA 52002

Doug Rogers, 3390 Asbury Road, Dubuque, IA 52002

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Louie Rosalez, 3390 Asbury Road, Dubuque, IA 52002

Kevin R. Schmitt, 3390 Asbury Road, Dubuque, IA 52002

Katie Thomas, 3390 Asbury Road, Dubuque, IA 52002

Jon Thoms, 3390 Asbury Road, Dubuque, IA 52002

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JAN AUSSIE, FLORIDA

**IOWA SECRETARY OF STATE
PAUL D. PATE**



CERTIFICATE OF EXISTENCE

Date: 3/18/2015

Name: HONKAMP KRUEGER FINANCIAL SERVICES, INC. (490 DP - 190832)

Date of Incorporation: 12/1/1995

Duration: PERPETUAL

I, Paul D. Pate, Secretary of State of the State of Iowa, custodian of the records of incorporations, certify the following for the corporation named on this certificate:

- a. The entity is in existence and duly incorporated under the laws of Iowa.
- b. All fees required under the Iowa Business Corporation Act due the Secretary of State have been paid.
- c. The most recent biennial report required has been filed with the Secretary of State.
- d. Articles of dissolution have not been filed.

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JANALYN S. FLEMMING

Certificate ID: CS104240

To validate certificates visit:

sos.iowa.gov/ValidateCertificate

A handwritten signature of Paul D. Pate in black ink.
Paul D. Pate, Iowa Secretary of State