

MD9000002166

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP ☐ WAIT ☐ MAIL

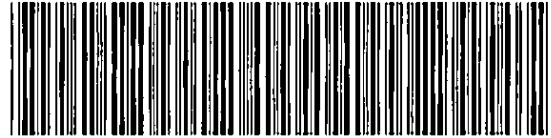
(Business Entity Name)

(Document Number)

Certified Copies _____ Certificates of Status _____

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DATE: 6/15/18

NAME: WINTRUST INVESTMENTS, LLCQ

TYPE OF FILING: AMENDMENT

COST: 55.00

RETURN: PLAIN COPY AND GOOD STANDING PLEASE

ACCOUNT: FCA000000015

AUTHORIZATION: ABBIE/PAUL HODGE

AtHodge

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Wayne Hummer Investments L.L.C.

Name of Foreign Limited Liability Company

Dear Sir or Madam:

The enclosed application, certificate and fee(s) are submitted for filing.

Please return all correspondence concerning this matter to the following:

Stacy Rankin

Name of Person

Wintrust Financial Corporation

Firm/Company

9700 W Higgins Road, Suite 800

Address

Rosemont, IL 60018

City/State and Zip Code

srankin@wintrust.com

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

For further information concerning this matter, please call:

Stacy Rankin

Name of Person

at (847) 939-9640

Area Code & Daytime Telephone Number

STREET/COURIER ADDRESS:

Registration Section
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, Florida 32301

MAILING ADDRESS:

Registration Section
Division of Corporations
P.O. Box 6327
Tallahassee, Florida 32314

Enclosed is a check for the following amount:

☐ \$25 Filing Fee

☐ \$30 Filing Fee &
Certificate of Status

☒ \$55 Filing Fee &
Certified Copy

☐ \$60 Filing Fee,
Certificate of Status &
Certified Copy

**APPLICATION BY FOREIGN LIMITED LIABILITY COMPANY TO FILE
AMENDMENT TO CERTIFICATE OF AUTHORITY TO TRANSACT
BUSINESS IN FLORIDA**

SECTION I (1-4 must be completed)

1. Name of limited liability Company as it appears on the records of the Florida Department of

State: Wintrust Investments, LLC

Enter new principal office address, if applicable: N/A

(Principal office address
MUST BE A STREET ADDRESS)

Enter new mailing address, if applicable: N/A

(Mailing address
MAY BE A POST OFFICE BOX)

2. The Florida document number of this limited liability company is: M09000002166

3. Jurisdiction of its organization: Delaware

4. Date authorized to do business in Florida: June 5, 2009

SECTION II (5-9 complete only the applicable changes)

5. New name of the limited liability company: Wayne Hummer Investments, LLC
(must contain "Limited Liability Company," "L.L.C.," or "LLC.")

(If name unavailable, enter alternate name adopted for the purpose of transacting business in Florida and attach a copy of the written consent of the managers or managing members adopting the alternate name. The alternate name must contain "Limited Liability Company," "L.L.C.," or "LLC.")

6. If amending the registered agent and/or registered officer address on our records, enter the name of the new registered agent and/or the new registered office address here:

Name of New Registered Agent: N/A

New Registered Office Address: N/A

Enter Florida Street Address

_____, Florida _____
City Zip Code

New Registered Agent's Signature, if changing Registered Agent:

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 as provided for in Chapter 605, F.S. Or, if this document is being filed to merely reflect a change in the registered office address, I hereby confirm that the limited liability company has been notified in writing of this change.

If Changing Registered Agent, Signature of New Registered Agent

7. If the amendment changes the jurisdiction of organization, indicate new jurisdiction:

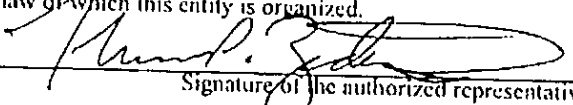
N/A

8. If the amendment changes person, title or capacity in accordance with 605.0902 (1)(c), indicate that change:

N/A

<u>Title/ Capacity</u>	<u>Name</u>	<u>Address</u>	<u>Type of Action</u>
_____	_____	_____	<input type="checkbox"/> Add
		_____	<input type="checkbox"/> Remove
_____	_____	_____	<input type="checkbox"/> Add
		_____	<input type="checkbox"/> Remove
_____	_____	_____	<input type="checkbox"/> Add
		_____	<input type="checkbox"/> Remove
_____	_____	_____	<input type="checkbox"/> Add
		_____	<input type="checkbox"/> Remove
_____	_____	_____	<input type="checkbox"/> Add
		_____	<input type="checkbox"/> Remove

9. Attached is a certificate, if required: no more than 90 days old, evidencing the aforementioned amendment(s), duly authenticated by the official having custody of records in the jurisdiction under the law of which this entity is organized.


Signature of the authorized representative

Thomas P. Zidar, Manager

Typed or printed name of signee

Filing Fee: \$25.00

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "WAYNE HUMMER INVESTMENTS, LLC" IS DULY FORMED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE FIFTEENTH DAY OF JUNE, A.D. 2018.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "WAYNE HUMMER INVESTMENTS, LLC" WAS FORMED ON THE THIRTY-FIRST DAY OF JANUARY, A.D. 1996.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL TAXES HAVE BEEN PAID TO DATE.



2587680 8300

SR# 20185181032

You may verify this certificate online at corp.delaware.gov/authver.shtml

A handwritten signature of Jeffrey W. Bullock in black ink, written over a horizontal line. Below the line, the text "Jeffrey W. Bullock, Secretary of State" is printed.

Jeffrey W. Bullock, Secretary of State

Authentication: 202892902

Date: 06-15-18

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "WINTRUST INVESTMENTS, LLC", CHANGING ITS NAME FROM "WINTRUST INVESTMENTS, LLC" TO "WAYNE HUMMER INVESTMENTS, LLC", FILED IN THIS OFFICE ON THE FOURTEENTH DAY OF JUNE, A.D. 2018, AT 4:41 O'CLOCK P.M.



2587680 8100
SR# 20185163638

You may verify this certificate online at corp.delaware.gov/authver.shtml


Jeffrey W. Bullock, Secretary of State

Authentication: 202889097
Date: 06-14-18


STATE OF DELAWARE
AMENDED AND RESTATED CERTIFICATE OF FORMATION
OF
WINTRUST INVESTMENTS, LLC

This Amended and Restated Certificate of Formation of Wintrust Investments, LLC (the "LLC"), dated as of June 13, 2018, (the "Certificate") has been duly executed and it being filed by an authorized person in accordance with the provisions of 6 Del. C. § 18-208, to amend and restate the original Certificate of Formation of the LLC, which was filed on January 31, 1996, the Amended and Restate Certificate of Formation, which was filed on November 19, 2007, and the Amended and Restate Certificate of Formation, which was filed on May 30, 2018, all of the aforementioned of which were filed with the Secretary of State of the State of Delaware.

The Certificate is hereby amended and restated in its entirety to read as follows:

1. Name. The name of the limited liability company is Wayne Hummer Investments, LLC
2. Registered Agent and Registered Office. The name and address of the registered agent for the service of process on the LLC in the State of Delaware are Registered Agent Solutions, Inc., 9 E. Loockerman St. Suite 311 Dover, Kent County, Delaware 19901.

IN WITNESS WHEREOF, the undersigned has executed this Amended and Restated Certificate of Formation as of the aforementioned date.

By: 
Name: Thomas P. Zidar
Title: Manager