

M09000002166

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

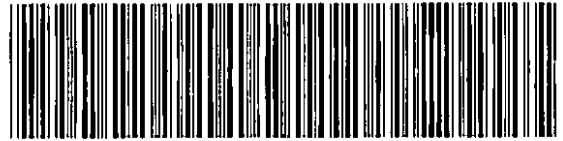
(Business Entity Name)

(Document Number)

Certified Copies \_\_\_\_\_ Certificates of Status \_\_\_\_\_

Special Instructions to Filing Officer:

Office Use Only



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08/01/18--01006--005 \*\*250.00

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2018 AUG -1 PM 1:11

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AUG 02 2018

# SUNSHINE CORPORATE FILING OF FLORIDA INC.

3458 Lakeshore Drive, Tallahassee, Florida 32312

(850) 656-4724

DATE 8-1-18

**\*\*WALK IN\*\***

ENTITY NAME Wayne Hummer Investments L.L.C.

DOCUMENT NUMBER \_\_\_\_\_

**\*\*PLEASE FILE THE ATTACHED AND RETURN\*\***

XX  
\_\_\_\_\_  
\_\_\_\_\_

*Plain Copy*

*Certified Copy*

*Certificate of Status*

**\*\*PLEASE OBTAIN THE FOLLOWING FOR THE ABOVE ENTITY\*\***

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*Certified Copy of Arts & Amendments*

*Certificate of Good Standing*

**\*\*APOSTILLE / NOTARIAL CERTIFICATION\*\***

COUNTRY OF DESTINATION \_\_\_\_\_

NUMBER OF CERTIFICATES REQUESTED \_\_\_\_\_

TOTAL OWED 55<sup>00</sup>

CHECK # 5102

*Please call Tina at the above number for any issues or concerns. Thank you so much!*

## 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: Wayne Hummer 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: Wintrust 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:

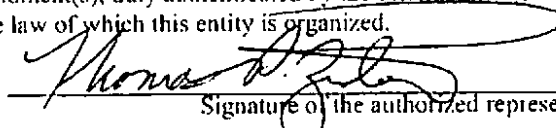
Delaware

8. If the amendment changes person, title or capacity in accordance with 605.0902 (1)(e), 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 signer

**Filing Fee: \$25.00**

2018 JUN -1 PM 1:12

# 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 CERTIFICATE OF AMENDMENT OF "WAYNE HUMMER INVESTMENTS, LLC", CHANGING ITS NAME FROM "WAYNE HUMMER INVESTMENTS, LLC" TO "WINTRUST INVESTMENTS, LLC", FILED IN THIS OFFICE ON THE TWELFTH DAY OF JULY, A.D. 2018, AT 12:52 O'CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF AMENDMENT IS THE FIRST DAY OF AUGUST, A.D. 2018.



  
Jeffrey W. Bullock, Secretary of State

2587680 8100  
SR# 20185630722

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

Authentication: 203061718  
Date: 07-13-18

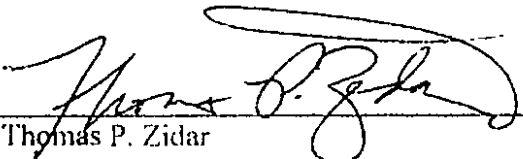
**STATE OF DELAWARE**  
**AMENDED AND RESTATED CERTIFICATE OF FORMATION**  
**OF**  
**WAYNE HUMMER INVESTMENTS, LLC**

This Amended and Restated Certificate of Formation of Wayne Hummer Investments, LLC (the "LLC"), dated as of July 12, 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 Restated Certificate of Formation, which was filed on November 19, 2007, the Amended and Restate Certificate of Formation, which was filed on May 30, 2018, and the Amended and Restated Certificate of Formation, which was filed on June 14, 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 Wintrust 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.
3. Effective Date: The Certificate is effective as of August 1, 2018.

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