

M13000000240

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

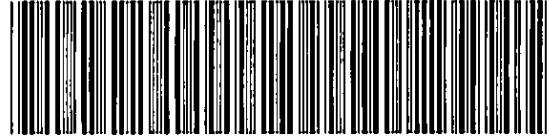
(Business Entity Name)

(Document Number)

Certified Copies _____ Certificates of Status _____

Special Instructions to Filing Officer:

Office Use Only



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FILED

2021 JUL 13 AM 8:30

SECRETARY OF STATE
TALLAHASSEE, FL

2021 JUL 13 PM 4:02

CORPORATION SERVICE COMPANY
1201 Hays Street
Tallahassee, FL 32301
Phone: 850-558-1500

ACCOUNT NO. : I20000000195
REFERENCE : 902731 7899828
AUTHORIZATION : 
COST LIMIT : \$ 25.00

ORDER DATE : July 13, 2021
ORDER TIME : 1:53 PM
ORDER NO. : 902731-045
CUSTOMER NO: 7899828

FOREIGN FILINGS

NAME: CETERA INVESTMENT ADVISERS LLC

☐ CORPORATE
☐ LIMITED PARTNERSHIP
☒ LIMITED LIABILITY COMPANY

XXXX AMENDMENT

PLEASE RETURN THE FOLLOWING AS PROOF OF FILING:

☐ CERTIFIED COPY
☒ PLAIN STAMPED COPY
☐ CERTIFICATE OF GOOD STANDING

CONTACT PERSON: Alexxis Weiland -- EXT# 61592

EXAMINER: _____

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Cetera Investment Advisers LLC
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:

Name of Person

Firm/Company

Address

City/State and Zip Code

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

For further information concerning this matter, please call:

Name of Person at (_____) _____
Area Code & Daytime Telephone Number

Mailing Address:

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

Street Address:

Registration Section
Division of Corporations
The Centre of Tallahassee
2415 N. Monroe Street, Suite 810
Tallahassee, FL 32303

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: Cetera Investment Advisers LLC

Enter new principal office address, if applicable: 1450 American Lane, Suite 650

(Principal office address
MUST BE A STREET ADDRESS) Schaumburg, IL 60173

Enter new mailing address, if applicable:

(Mailing address
MAY BE A POST OFFICE BOX) 1450 American Lane, Suite 650
Schaumburg, IL 60173

2. The Florida document number of this limited liability company is: M13000000240

3. Jurisdiction of its organization: Delaware

4. Date authorized to do business in Florida: 01/11/2013

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

5. New name of the limited liability company: _____
(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: _____

New Registered Office Address: _____

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

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

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

<u>Title/ Capacity</u>	<u>Name</u>	<u>Address</u>	<u>Type of Action</u>
Treas	Mark Shelson	400 1st St South, Ste 300	<input type="checkbox"/> Add
		St Cloud, MN 56301	<input checked="" type="checkbox"/> Remove
Asst. Sec	David Kim	1450 American Lane, STE 650	<input checked="" type="checkbox"/> Add
		Schaumburg, IL 60173	<input type="checkbox"/> Remove
Treasure	Keith Shores	1450 American Lane, STE 650	<input checked="" type="checkbox"/> Add
		Schaumburg, IL 60173	<input type="checkbox"/> Remove
VP	Stanley R. Smiley	1450 American Lane, STE 650	<input checked="" type="checkbox"/> Add
		Schaumburg, IL 60173	<input type="checkbox"/> Remove
			<input type="checkbox"/> Add
			<input type="checkbox"/> Remove

SECRETARY OF STATE
TALLAHASSEE, FL
2021 JUL 13 AM 8:30
FILED

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.

DocuSigned by:

David Kim

Signature of the authorized representative

David Kim

Typed or printed name of signee

Filing Fee: \$25.00