

# P23038

Florida Department of State  
Division of Corporations  
Electronic Filing Cover Sheet

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To:

Division of Corporations  
Fax Number : (850)617-6380

From:

Account Name : CAPITOL SERVICES, INC.  
Account Number : 120160000017  
Phone : (855)498-5500  
Fax Number : (800)432-3622

**\*\*Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.\*\***

**Email Address:** \_\_\_\_\_

**COR AMND/RESTATE/CORRECT OR O/D RESIGN  
H.D. VEST ADVISORY SERVICES, INC.**

Certificate of Status	0
Certified Copy	1
Page Count	06
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**COVER LETTER**

**TO:** Amendment Section  
Division of Corporations

**SUBJECT:** H.D. Vest Advisory Services, Inc.  
Name of Corporation

**DOCUMENT NUMBER:** P23038

The enclosed Amendment and fee are submitted for filing.

Please return all correspondence concerning this matter to the following:

\_\_\_\_\_  
Name of Contact Person

Capitol Services – Corporate Filings Team  
Firm/Company

515 East Park Avenue 2nd Fl  
Address

Tallahassee, FL 32301  
City/State and Zip Code

info@csoglobal.com

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

For further information concerning this matter, please call:

\_\_\_\_\_  
Name of Contact Person

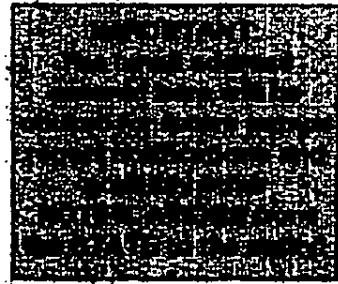
at ( 855 ) 498 - 5500  
Area Code & Daytime Telephone Number

Enclosed is a check for the following amount:

- |   |   |  |   |
|---|---|--|---|
| <input type="checkbox"/> \$35.00 Filing Fee | <input type="checkbox"/> \$43.75 Filing Fee & Certificate of Status | <input type="checkbox"/> \$43.75 Filing Fee & Certified Copy (Additional copy is enclosed) | <input type="checkbox"/> \$52.50 Filing Fee, Certificate of Status & Certified Copy (Additional copy is enclosed) |
|---|---|--|---|

**Mailing Address:**  
Amendment Section  
Division of Corporations  
P.O. Box 6327  
Tallahassee, FL 32314

**Street Address:**  
Amendment Section  
Division of Corporations  
Clifton Building  
2661 Executive Center Circle  
Tallahassee, FL 32301



**PROFIT CORPORATION**  
**APPLICATION BY FOREIGN PROFIT CORPORATION TO FILE AMENDMENT TO**  
**APPLICATION FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA**  
(Pursuant to s. 607.1504, F.S.)

**SECTION I**  
**(1-3 MUST BE COMPLETED)**

P23038

(Document number of corporation (if known))

1. H.D. Vest Advisory Services, Inc.

(Name of corporation as it appears on the records of the Department of State)

2. Texas

(Incorporated under laws of)

3. 02/17/1989

(Date authorized to do business in Florida)

**SECTION II**  
**(4-7 COMPLETE ONLY THE APPLICABLE CHANGES)**

4. If the amendment changes the name of the corporation, when was the change effected under the laws of its jurisdiction of incorporation? 09/12/2019

5. Avantax Advisory Services, Inc.

(Name of corporation after the amendment, adding suffix "corporation," "company," or "incorporated," or appropriate abbreviation, if not contained in new name of the corporation)

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

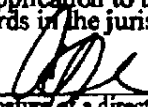
6. If the amendment changes the period of duration, indicate new period of duration.

\_\_\_\_\_  
(New duration)

7. If the amendment changes the jurisdiction of incorporation, indicate new jurisdiction.

\_\_\_\_\_  
(New jurisdiction)

8. Attached is a certificate or document of similar import, evidencing the amendment, authenticated not more than 90 days prior to delivery of the application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the laws of which it is incorporated.

  
\_\_\_\_\_  
(Signature of a director, president or other officer - if in the hands of a receiver or other court appointed fiduciary, by that fiduciary)

Casey Griffin

(Typed or printed name of person signing)

Director

(Title of person signing)

Corporations Section  
P.O.Box 13697  
Austin, Texas 78711-3697



Ruth R. Hughs  
Secretary of State

## Office of the Secretary of State

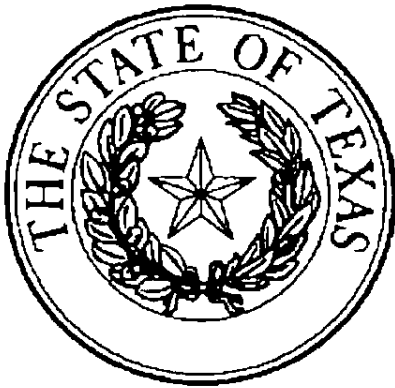
The undersigned, as Secretary of State of Texas, does hereby certify that the attached is a true and correct copy of each document on file in this office as described below:

Avantax Advisory Services, Inc.  
Filing Number: 103884500

Certificate of Amendment

September 12, 2019

In testimony whereof, I have hereunto signed my name officially and caused to be impressed hereon the Seal of State at my office in Austin, Texas on October 01, 2019.



A handwritten signature in black ink, appearing to read "Ruth R. Hughs".

Ruth R. Hughs  
Secretary of State

**CERTIFICATE OF AMENDMENT  
OF  
CERTIFICATE OF FORMATION  
OF  
H.D. VEST ADVISORY SERVICES, INC.**

**FILED**  
In the Office of the  
Secretary of State of Texas

**SEP 12 2019**

**Corporations Section**

The undersigned officer of H.D. Vest Advisory Services, Inc., a Texas for-profit corporation (the "Corporation"), hereby duly executes the following Certificate of Amendment to the Corporation's Certificate of Formation (as amended) in effect as of the date hereof (the "Certificate of Formation") on behalf of the Corporation pursuant to Section 3.054 of the Texas Business Organizations Code.

1. The name of the corporation is H.D. Vest Advisory Services, Inc. (the "Company").
2. The Certificate of Formation was filed with the Texas Secretary of State on May 18, 1987 and the file number of the Certificate of Formation is 103884500.
3. This amendment to the Certificate of Formation has been approved in the manner required by the Texas Business Organizations Code and by the governing documents of the Corporation.
4. Article "ARTICLE I" of the Company's Certificate of Formation is hereby deleted in its entirety with the following Article I being substituted in its place:

**"ARTICLE I:**

The name of the filing entity is "Avantax Advisory Services, Inc." (the "Corporation") with a filing number of 103884500 and formed on May 18, 1987."

5. This Certificate of Amendment becomes effective on September 16, 2019.

*[signature page to follow]*

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**SEP 12 2019**

**Secretary of State**

The undersigned signs this document subject to the penalties imposed by law for the submission of a materially false or fraudulent instrument and certifies under penalty of perjury that the undersigned is authorized under the provisions of law governing the Corporation to execute the filing instrument.

Signed on this 2<sup>nd</sup> day of September, 2019.

**H.D. VEST ADVISORY SERVICES, INC.,**

a Texas corporation

By: 

Name: Casey Griffin

Title: Assistant Secretary