

## TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

ETAS ID: TM441074

|   |  |                       |                                     |
|---|--|-----------------------|-------------------------------------|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT                           |                       |                                     |
| <b>NATURE OF CONVEYANCE:</b>  | CHANGE OF NAME                           |                       |                                     |
| <b>CONVEYING PARTY DATA</b>   |  |                       |                                     |
| <b>Name</b>   | <b>Formerly</b>                          | <b>Execution Date</b> | <b>Entity Type</b>                  |
| NFP Advisor Services, LLC   |  | 03/01/2016            | Limited Liability Company:<br>TEXAS |
| <b>RECEIVING PARTY DATA</b>   |  |                       |                                     |
| <b>Name:</b>  | Kestra Investment Services, LLC          |                       |                                     |
| <b>Street Address:</b>  | 1250 CAPITAL OF TEXAS HIGHWAY SOUTH      |                       |                                     |
| <b>Internal Address:</b>  | BUILDING 2 SUITE 125                     |                       |                                     |
| <b>City:</b>  | Austin                                   |                       |                                     |
| <b>State/Country:</b>   | TEXAS                                    |                       |                                     |
| <b>Postal Code:</b>   | 78746                                    |                       |                                     |
| <b>Entity Type:</b>   | Limited Liability Company: TEXAS         |                       |                                     |
| <b>PROPERTY NUMBERS Total: 2</b>  |  |                       |                                     |
| <b>Property Type</b>  | <b>Number</b>                            | <b>Word Mark</b>      |                                     |
| <b>Serial Number:</b>   | 86913184                                 | KESTRA                |                                     |
| <b>Serial Number:</b>   | 86913195                                 | KESTRA FINANCIAL      |                                     |
| <b>CORRESPONDENCE DATA</b>  |  |                       |                                     |
| <b>Fax Number:</b>  | 3124568435                               |                       |                                     |
| <i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i> |  |                       |                                     |
| <b>Phone:</b>   | 312.456.8400                             |                       |                                     |
| <b>Email:</b>   | chiipmail@gtlaw.com, matthewsk@gtlaw.com |                       |                                     |
| <b>Correspondent Name:</b>  | Greenberg Traurig, LLP                   |                       |                                     |
| <b>Address Line 1:</b>  | 77 W. Wacker Drive                       |                       |                                     |
| <b>Address Line 2:</b>  | Suite 3100                               |                       |                                     |
| <b>Address Line 4:</b>  | Chicago, ILLINOIS 60601                  |                       |                                     |
| <b>ATTORNEY DOCKET NUMBER:</b>  | 170274.010200                            |                       |                                     |
| <b>NAME OF SUBMITTER:</b>   | Jeffrey P. Dunning                       |                       |                                     |
| <b>SIGNATURE:</b>   | /Jeffrey P. Dunning/                     |                       |                                     |
| <b>DATE SIGNED:</b>   | 08/29/2017                               |                       |                                     |
| <b>Total Attachments: 4</b>   |  |                       |                                     |
| source=Name Change to Kestra Investment Services LLC#page1.tif  |  |                       |                                     |

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source=Name Change to Kestra Investment Services LLC#page3.tif  
source=Name Change to Kestra Investment Services LLC#page4.tif



**Office of the Secretary of State**

**CERTIFICATE OF FILING  
OF**

**Kestra Investment Services, LLC  
802056265**

**[formerly: NFP Advisor Services, LLC]**

The undersigned, as Secretary of State of Texas, hereby certifies that a Certificate of Amendment for the above named entity has been received in this office and has been found to conform to the applicable provisions of law.

ACCORDINGLY, the undersigned, as Secretary of State, and by virtue of the authority vested in the secretary by law, hereby issues this certificate evidencing filing effective on the date shown below.

Dated: 03/01/2016

Effective: 03/01/2016



A handwritten signature in black ink, appearing to read "Cascos".

Carlos H. Cascos  
Secretary of State

Form 424  
(Revised 01/06)  
Return in duplicate to:  
Secretary of State  
P.O. Box 13697  
Austin, TX 78711-3697  
512 463-5555  
FAX: 512/463-5709  
Filing Fee: See instructions



This space reserved for office use.

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

MAR 01 2016

**Corporations Section**

**Certificate of Amendment**

**Entity Information**

The name of the filing entity is:

NFP Advisor Services, LLC

State the name of the entity as currently shown in the records of the secretary of state. If the amendment changes the name of the entity, state the old name and not the new name.

The filing entity is a: (Select the appropriate entity type below.)

- |   |   |
|---|---|
| <input type="checkbox"/> For-profit Corporation               | <input type="checkbox"/> Professional Corporation               |
| <input type="checkbox"/> Nonprofit Corporation                | <input type="checkbox"/> Professional Limited Liability Company |
| <input type="checkbox"/> Cooperative Association              | <input type="checkbox"/> Professional Association               |
| <input checked="" type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Limited Partnership                    |

The file number issued to the filing entity by the secretary of state is: 802056265

The date of formation of the entity is: September 2, 2014

**Amendments**

**1. Amended Name**

(If the purpose of the certificate of amendment is to change the name of the entity, use the following statement)

The amendment changes the certificate of formation to change the article or provision that names the filing entity. The article or provision is amended to read as follows:

The name of the filing entity is: (state the new name of the entity below)

Kestra Investment Services, LLC

The name of the entity must contain an organizational designation or accepted abbreviation of such term, as applicable.

**2. Amended Registered Agent/Registered Office**

The amendment changes the certificate of formation to change the article or provision stating the name of the registered agent and the registered office address of the filing entity. The article or provision is amended to read as follows:



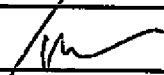
**Effectiveness of Filing** (Select either A, B, or C.)

- A.  This document becomes effective when the document is filed by the secretary of state.
- B.  This document becomes effective at a later date, which is not more than ninety (90) days from the date of signing. The delayed effective date is: \_\_\_\_\_
- C.  This document takes effect upon the occurrence of a future event or fact, other than the passage of time. The 90<sup>th</sup> day after the date of signing is: \_\_\_\_\_  
The following event or fact will cause the document to take effect in the manner described below:  
\_\_\_\_\_  
\_\_\_\_\_

**Execution**

The undersigned signs this document subject to the penalties imposed by law for the submission of a materially false or fraudulent instrument.

Date: March 1, 2016

NFP ADVISOR SERVICES, LLC  
\_\_\_\_\_  


Signature and title of authorized person(s) (see instructions)  
Timothy M. Robb, Senior Vice President of NFP Advisor Services  
Holdings D, Inc., as Sole Member