

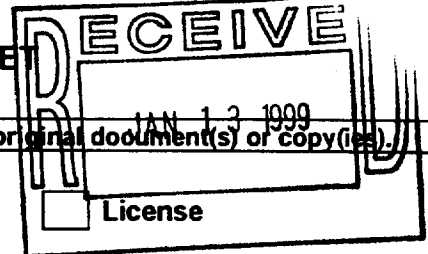
01-15-1999

U.S. Department of Commerce
Patent and Trademark Office
TRADEMARK



100943340

RECORDATION FORM COVER SHEET
TRADEMARKS ONLY



TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New
- ☐ Resubmission (Non-Recordation)
Document ID #
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☐ Assignment
- ☒ Security Agreement
- ☐ Merger
- ☐ Change of Name
- ☐ Other
- ☐ License
- ☐ Nunc Pro Tunc Assignment
Effective Date
Month Day Year

Conveying Party

☐ Mark if additional names of conveying parties attached

Name

Execution Date
Month Day Year

Formerly

- ☐ Individual ☐ General Partnership ☐ Limited Partnership ☒ Corporation ☐ Association
- ☐ Other
- ☒ Citizenship/State of Incorporation/Organization

Receiving Party

☐ Mark if additional names of receiving parties attached

Name

DBA/AKA/TA

Composed of

Address (line 1)

Address (line 2)

Address (line 3)

- ☐ Individual ☐ General Partnership ☐ Limited Partnership ☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative should be attached. (Designation must be a separate document from Assignment.)

☐ Corporation ☒ Association

☒ Other

☐ Citizenship/State of Incorporation/Organization

01/15/1999 DNGUYEN 00000003 1483753

FOR OFFICE USE ONLY

01 FC:481 40.00 OP
02 FC:482 75.00 OP

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Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

TRADEMARK

REEL: 1839 FRAME: 0757

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

Correspondent Name and Address

Area Code and Telephone Number

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

#

Trademark Application Number(s) or Registration Number(s)

☐ Mark if additional numbers attached

Enter either the Trademark Application Number or the Registration Number (DO NOT ENTER BOTH numbers for the same property).

Trademark Application Number(s)

Registration Number(s)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="1483753"/>	<input type="text" value="2064185"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="1784352"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="1980582"/>	<input type="text"/>	<input type="text"/>

Number of Properties

Enter the total number of properties involved.

#

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41):

\$

Method of Payment:

Enclosed ☒

Deposit Account ☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

Authorization to charge additional fees:

Yes ☐

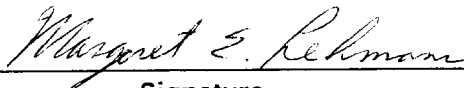
No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Margaret E. Lehmann

Name of Person Signing



Signature

January 7, 1999

Date Signed

Security Agreement - General Intangibles
(Patents, Trademarks, Copyrights, Computer Software)

1. **THE SECURITY.** The undersigned Santa Lucia Winery, Inc. ("Borrower") for valuable consideration hereby assigns and grants to **Bank of America National Trust and Savings Association** ("Bank"), a security interest in any right, title, or interest of Borrower in or to the following described personal property, whether now owned or hereafter acquired ("Collateral"):
 - A. All patents and patent applications and all rights corresponding thereto throughout the world, and all unpatented or unpatentable developments and inventions.
 - B. All trademarks, service marks, logos, and all United States, state and/or foreign applications for registration and registrations thereof, all trade names, trade styles, designs, and the like, all elements of package or trade dress of goods, the goodwill of the Borrower's business connected with the use of, and symbolized by any of the above, and all property of Borrower necessary to produce any products sold under any of the above.
 - C. All copyrights and copyrighted works, all derivative works thereof, all mask works of semiconductor chip products, and United States and/or foreign applications for registration and registrations thereof.
 - D. All computer software programs developed or to be developed by Borrower or in which Borrower asserts or could assert a proprietary interest; all personal property, including but not limited to source codes, object codes or similar information, which is necessary to the practical utilization of such programs; all tangible property of Borrower embodying or incorporating any such programs.
 - E. All trade secrets, proprietary information, customer lists, instructional materials, working drawings, manufacturing techniques, process technology documentation, and product formulations.
 - F. All rights to damages or profits due or accrued arising out of past, present or future infringement of the Collateral or injury to Borrower's good will connected with the use of the Collateral and the right to sue therefor.
 - G. All renewals, modifications, amendments, re-issues, divisions, continuations in whole or part, and extensions of any Collateral.
 - H. All proceeds of any Collateral.
2. **THE INDEBTEDNESS.** The Collateral secures and will secure all Indebtedness of Borrower to Bank. For the purposes of this Agreement, "Indebtedness" shall mean all loans and advances made by Bank to Borrower and all obligations and liabilities of Borrower to Bank, whether now existing or hereafter incurred or created, whether voluntary or involuntary, whether due or not due, whether absolute or contingent (including but not limited to obligations of Borrower as a guarantor of the indebtedness of another), and whether incurred directly or acquired by Bank by assignment or otherwise. Unless Borrower shall have otherwise agreed in writing, "Indebtedness" shall not include "consumer credit" subject to the disclosure requirements of the Federal Truth in Lending Act or any regulations promulgated thereunder.
3. **WARRANTIES AND REPRESENTATIONS.** Borrower represents and warrants to Bank as follows:
 - A. Exhibit A to this Agreement is a complete list of all patents, trademark and service mark registrations, copyright registrations, mask work registrations, and all applications therefor, in which Borrower has any right, title, or interest, throughout the world.
 - B. Borrower has full power and authority to execute this Agreement and perform its obligations hereunder, and to subject the Collateral to the security interest transferred hereby, and Borrower has entered and will enter into written agreements with each of its present and future employees, agents and consultants which will enable it to comply with the covenants herein contained.
 - C. Borrower is the lawful owner of the entire right, title and interest in and to all the Collateral, free and clear of all liens, charges, encumbrances, claims of infringement, setoffs, counterclaims, licenses, shop rights, and covenants not to sue third persons, except as Bank has consented to in writing.
4. **BORROWER'S COVENANTS.** Borrower covenants and agrees that, unless compliance is waived by Bank in writing:
 - A. Borrower will at its expense properly maintain the Collateral and shall not fail to renew and shall not otherwise abandon any Collateral. Borrower will, at its expense, diligently prosecute all patent, trademark or service mark or copyright applications pending on or after the date hereof, will maintain in effect all issued patents and will renew all trademark and service mark registrations, including payment of any and all maintenance and renewal fees relating thereto; Borrower also will promptly make application on any patentable but unpatented inventions, registerable but unregistered trademarks and service marks, and copyrightable but uncopyrighted works.
 - B. Borrower will at its expense protect and defend all rights in the Collateral against any claims and demands of all persons other than the Bank and will, at its expense, enforce all rights in the Collateral against any and all infringers of the Collateral. Borrower will not license or transfer any of the Collateral except with Bank's prior written consent.

- C. Borrower will notify Bank in writing prior to any change in Borrower's place of business or, if Borrower has or acquires more than one place of business, prior to any change in Borrower's chief executive office or headquarters.
- D. Borrower will promptly notify Bank of any acquisition (by adoption and use, purchase, license or otherwise) of any patent, trademark or service mark registration, copyright registration, mask work registration, and applications therefor, and unregistered trademarks and service marks and copyrights, throughout the world, which are granted or filed or acquired after the date hereof or which are not listed on Exhibit A hereto. Borrower authorizes Bank, without notice to Borrower, to modify this Agreement by amending Exhibit A to include any such Collateral.
- E. Borrower will promptly notify Bank of any legal process which is levied against the Collateral and any other event which may have a material adverse effect on the value of the Collateral (including, but not limited to, conduct which might infringe on any Collateral) or the rights and remedies of Bank in relation thereto, and Borrower will enforce all rights in the Collateral against any and all infringers thereof.
- F. Borrower will, at the request of Bank, execute such other agreements, documents or instruments in connection with this Agreement as Bank may reasonably deem necessary, including, but not limited to, those documents prepared by Bank which, at Bank's option, Bank chooses to record with any governmental entity, in any State or at the Federal level or in any foreign country, relating to the security interest Bank holds in the Collateral.
- G. Borrower will pay to Bank, on demand, the amounts of any fees required to be paid in connection with recordation of this Agreement or any other agreement, document, or instrument evidencing Bank's security interest and any other rights in or to the Collateral.

5. DEFAULTS. Any one or more of the following shall be a default hereunder:

- A. Borrower shall fail to pay any Indebtedness to Bank when due.
- B. Borrower shall breach any term, provision, warranty or representation under this Agreement, or under any other security agreement, contract between Borrower and Bank, or any other obligation of Borrower to Bank.
- C. Any receiver or trustee shall be appointed with regard to all or a substantial portion of the assets of Borrower.
- D. Borrower shall become insolvent or unable to pay debts as they mature, shall make a general assignment for the benefit of creditors or shall voluntarily file under any bankruptcy or similar law.
- E. Any involuntary petition in bankruptcy shall be filed against Borrower.
- F. Any levies of attachment, executions, tax assessments or similar processes shall be issued against the Collateral and shall not be released within ten days thereof.
- G. Any financial statements, profit and loss statements, borrowing certificates or schedules, or other statements furnished by Borrower to Bank prove false or incorrect in any material respect.

6. BANK'S REMEDIES AFTER DEFAULT. In the event of any default Bank may do any one or more of the following:

- A. Declare any Indebtedness secured hereby immediately due and payable.
- B. Enforce the security interest given hereunder pursuant to the Uniform Commercial Code and any other law.

7. MISCELLANEOUS.

- A. In the event of a sale of Collateral (whether under power of sale herein granted, pursuant to judicial process or otherwise), Borrower will duly execute and acknowledge all documents necessary or advisable to record title to such Collateral in the name of the purchaser, including, without limitation, valid and recordable assignments of such Collateral.
- B. Borrower hereby appoints Bank, effective upon the occurrence of a default hereunder, Borrower's attorney-in-fact, with full authority to take any action and to execute any instrument which the Bank may deem necessary or advisable to accomplish the purposes of this Agreement. Such appointment of Bank as Borrower's attorney-in-fact is coupled with an interest and is irrevocable.
- C. Any waiver, expressed or implied, of any provision hereunder and any delay or failure by Bank to enforce any provision shall not preclude Bank from enforcing any such provision thereafter.
- D. This Agreement shall be governed by and construed according to the laws of the State of California, to the jurisdiction of which Borrower submits.
- E. All rights and remedies herein provided are cumulative and not exclusive of any rights or remedies otherwise provided by law. Any single or partial exercise of any right or remedy shall not preclude the further exercise thereof or the exercise of any other right or remedy.
- F. All terms not defined herein are used as set forth in the Uniform Commercial Code.
- G. In the event of any action by Bank to enforce this Agreement or to protect the security interest of Bank in the Collateral, Borrower agrees to pay the costs thereof, reasonable attorney's fees and other expenses.
- H. This Agreement and any agreement or document attached hereto, referred to herein or executed concurrently

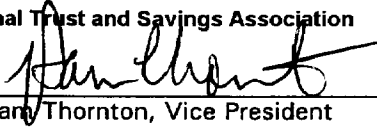
herewith, integrate all the terms and conditions mentioned herein or incidental hereto, and supersede all oral negotiations and prior writings in respect to the subject matter hereof.

Date: 12-15, 98

Bank of America

National Trust and Savings Association

X

By: 
By: Pam Thornton, Vice President

Santa Lucia Winery, Inc.

X


By: Kenneth Q. Volk, III, President

Address for Notices:

P.O. Box 910
Templeton, CA 93465

EXHIBIT A

Trademarks and Service Marks

Int. Cl.: 33



Prior U.S. Cl.: 47

United States Patent and Trademark Office **Reg. No. 1,483,753**
Registered Apr. 5, 1988

**TRADEMARK
PRINCIPAL REGISTER**

WILD HORSE

SANTA LUCIA WINERY, INC. (CALIFORNIA
CORPORATION)
P.O. BOX 638
TEMPLETON, CA 93465

FIRST USE 3-26-1986; IN COMMERCE
5-27-1986.

SER. NO. 606,560, FILED 6-26-1986.

FOR: WINES, IN CLASS 33 (U.S. CL. 47).

ELLEN M. DEVINE, EXAMINING ATTORNEY

EXHIBIT A

Trademarks and Service Marks

Int. Cl.: 33

Prior U.S. Cl.: 47

United States Patent and Trademark Office

Reg. No. 1,784,352

Registered July 27, 1993

TRADEMARK
PRINCIPAL REGISTER



CHEVAL SAUVAGE

VOLK, KENNETH III (UNITED STATES CITIZEN)
2484 TEMPLETON ROAD
TEMPLETON, CA 93465

THE LINING IS A FEATURE OF THE MARK AND IS NOT INTENDED TO INDICATE COLOR.

THE TERM "CHEVAL SAUVAGE" IN THE MARK TRANSLATE TO "SAVAGE HORSE".

FOR: WINE, IN CLASS 33 (U.S. CL. 47).

SER. NO. 74-331,050, FILED 11-16-1992.

FIRST USE 10-1-1992; IN COMMERCE 10-1-1992.

KENNETH D. BATTLE, EXAMINING ATTORNEY

EXHIBIT A

Trademarks and Service Marks



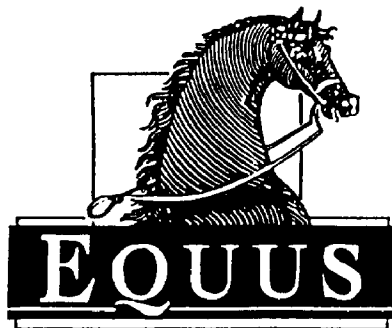
Int. Cl.: 33

Prior U.S. Cls.: 47 and 49

United States Patent and Trademark Office

Reg. No. 1,980,582
Registered June 18, 1996

TRADEMARK
PRINCIPAL REGISTER



VOLK III, KENNETH (UNITED STATES CITI-
ZEN)
2484 TEMPLETON ROAD
TEMPLETON, CA 93465

FIRST USE 6-0-1993; IN COMMERCE
6-0-1993.

SER. NO. 74-598,522, FILED 11-14-1994.

FOR: WINE, IN CLASS 33 (U.S. CLS. 47 AND
49).

GEOFFREY FOSDICK, EXAMINING ATTOR-
NEY

EXHIBIT A

Trademarks and Service Marks

Int. Cl.: 33

Prior U.S. Cls.: 47 and 49

Reg. No. 2,064,185

United States Patent and Trademark Office

Registered May 20, 1997

TRADEMARK
SUPPLEMENTAL REGISTER

RAIN FOREST RED

VOLK, KENNETH III (UNITED STATES CITI-
ZEN)
2484 TEMPLETON ROAD
TEMPLETON, CA 93465

FOR: WINE, IN CLASS 33 (U.S. CLS. 47 AND
49).

FIRST USE 9-27-1994; IN COMMERCE
9-27-1994.

NO CLAIM IS MADE TO THE EXCLUSIVE
RIGHT TO USE "RED" , APART FROM THE
MARK AS SHOWN.

SER. NO. 74-684,561, FILED P.R. 6-5-1995; AM.
S.R. 1-6-1997.

MICHAEL MASON, EXAMINING ATTORNEY