

04-12-2002

WENMM-1594 (05/01)

Form PTO-1594 (Rev. 03/01) OMB No. 0651-0027 (exp. 5/31/2002)

RE



U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office

102053302

Tab settings -> -> ->

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): Oxford Financial Advisors Corporation
[] Individual(s) [] Association
[] General Partnership [] Limited Partnership
[X] Corporation-State
[] Other
Additional name(s) of conveying party(ies) attached? [] Yes [] No

3-25-02

2. Name and address of receiving party(ies)
Name: Oxford Financial Group, Ltd.
Internal Address:
Street Address: 11711 N. Meridian Street, Suite 600
City: Carmel State: Indiana Zip: 46032
[] Individual(s) citizenship
[] Association
[] General Partnership
[] Limited Partnership
[X] Corporation-State Indiana
[] Other
If assignee is not domiciled in the United States, a domestic representative designation is attached: [] Yes [] No
(Designations must be a separate document from assignment)
Additional name(s) & address(es) attached? [] Yes [] No

3. Nature of conveyance:
[] Assignment [] Merger
[] Security Agreement [X] Change of Name
[] Other
Execution Date: August 1, 2001

4. Application number(s) or registration number(s):
A. Trademark Application No.(s)
B. Trademark Registration No.(s) 2,216,754
Additional number(s) attached [] Yes [] No

5. Name and address of party to whom correspondence concerning document should be mailed:
Name: C. David Emhardt
Internal Address: Woodard, Emhardt, Naughton, Moriarty & McNett
Street Address: 111 Monument Circle, Suite 3700
City: Indianapolis State: Indiana Zip: 46204

6. Total number of applications and registrations involved: 1
7. Total fee (37 CFR 3.41) \$ 40.00
[] Enclosed
[X] Authorized to be charged to deposit account
8. Deposit account number: 23-3030
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. 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.
C. David Emhardt Signature: C. David Emhardt Date: MARCH 22, 2002
Name of Person Signing
Total number of pages including cover sheet, attachments, and document: 15

Mail documents to be recorded with required cover sheet information to: Commissioner of Patent & Trademarks, Box Assignments Washington, D.C. 20231

04/11/2002 6TON11 00000093 233030 2216754
01 FC:481 40.00 CH

TRADEMARK REEL: 002481 FRAME: 0454

**State of Indiana
Office of the Secretary of State**

**CERTIFICATE OF AMENDMENT
of
OXFORD GROUP, LTD.**

I, SUE ANNE GILROY, Secretary of State of Indiana, hereby certify that Articles of Amendment of the above For-Profit Domestic Corporation have been presented to me at my office, accompanied by the fees prescribed by law and that the documentation presented conforms to law as prescribed by the provisions of the Indiana Business Corporation Law.

The name following said transaction will be:

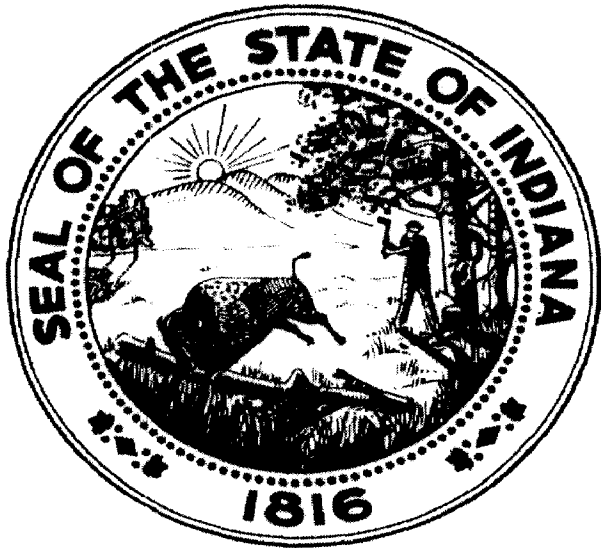
OXFORD FINANCIAL GROUP, LTD.

NOW, THEREFORE, with this document I certify that said transaction will become effective Monday, August 06, 2001.

In Witness Whereof, I have caused to be affixed my signature and the seal of the State of Indiana, at the City of Indianapolis, August 6, 2001.

Sue Anne Gilroy

SUE ANNE GILROY,
SECRETARY OF STATE



198401-446 / 2001080709311

**TRADEMARK
REEL: 002481 FRAME: 0455**

198401-446

wpa

**ARTICLES OF AMENDMENT
OF THE
RESTATED ARTICLES OF INCORPORATION
OF
OXFORD GROUP, LTD.
(which name is hereby changed to
Oxford Financial Group, Ltd.**

In compliance with the requirements of the Indiana Business Corporation Law, as amended (the "IBCL"), Oxford Group, Ltd., an Indiana corporation incorporated on January 16, 1984 (the "Corporation"), desiring to give notice of corporate action effectuating the amendment of its Restated Articles of Incorporation, certify the following facts:

ARTICLE I

Amendment to the Restated Articles of Incorporation

Section 1. The name of the Corporation is Oxford Group, Ltd., which shall be changed hereby to Oxford Financial Group, Ltd.

Section 2. Article I of the Corporation's Restated Articles of Incorporation is amended to read in its entirety as follows: The name of the Corporation is Oxford Financial Group, Ltd.

Section 3. The effective date of the amendment hereby effected shall be the date of filing of these Articles of Amendment with the office of the Secretary of State of the State of Indiana.

ARTICLE II

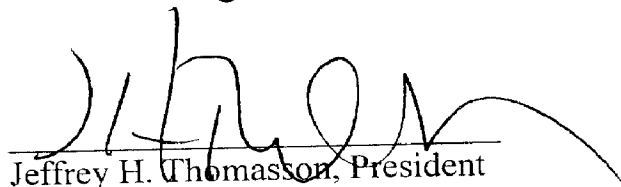
Manner of Adoption and Vote

Section 1. The foregoing amendment to the Restated Article of Incorporation was adopted by the unanimous written consent of the Board of Directors effective August 1, 2001. The Board of Directors submitted the amendment, together with its recommendation for approval and adoption, to the shareholders of the Corporation.

Section 2. The foregoing amendment to the Restated Articles of Incorporation required shareholder approval. By unanimous written consent executed as of August 1, 2001, the holders of all the outstanding shares of Class A Common Stock of the Corporation (constituting all of the issued and outstanding shares of capital stock of the Corporation entitled to vote with respect to the amendment) approved and adopted the amendment to the Restated Articles of Incorporation.

Section 3. The manner of the adoption of the amendment to the Restated Articles of Incorporation and the vote by which it was adopted constitute full legal compliance with the provisions of the IBCL and the Corporation's Restated Articles of Incorporation and By-Laws.

IN WITNESS WHEREOF, the undersigned officer of the Corporation has executed these Articles of Amendment this 1 day of August, 2001.


Jeffrey H. Thomasson, President

**State of Indiana
Office of the Secretary of State**

CERTIFICATE OF ASSUMED BUSINESS NAME

of

OXFORD FINANCIAL GROUP, LTD.

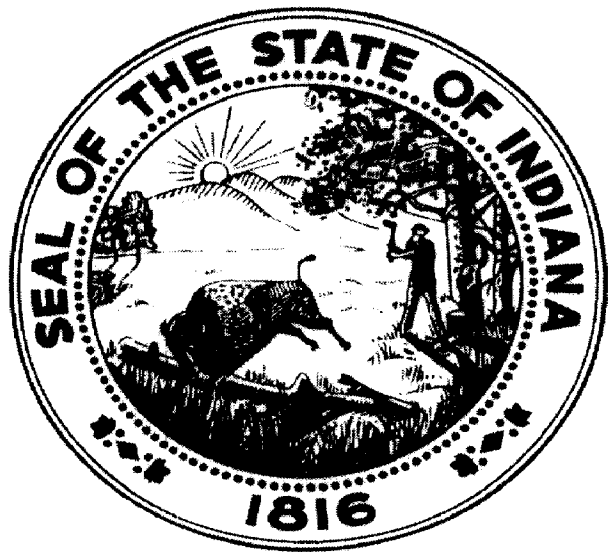
I, SUE ANNE GILROY, Secretary of State of Indiana, hereby certify that Certificate of Assumed Business Name of the above For-Profit Domestic Corporation have been presented to me at my office, accompanied by the fees prescribed by law and that the documentation presented conforms to law as prescribed by the provisions of the Indiana Business Corporation Law.

Following said transaction the entity named above will be doing business under the assumed business name(s) of:

**INVESTMENT SERVICES OF OXFORD
FAMILY OFFICE SERVICES OF OXFORD
PHILANTHROPIC COUNSEL OF OXFORD**

NOW, THEREFORE, with this document I certify that said transaction will become effective Monday, August 06, 2001.

In Witness Whereof, I have caused to be affixed my signature and the seal of the State of Indiana, at the City of Indianapolis, August 6, 2001.



Sue Anne Gilroy

SUE ANNE GILROY,
SECRETARY OF STATE

198401-446 / 2001080709316

198401-446 wpu

wpu



CERTIFICATE OF ASSUMED BUSINESS NAME (All Corporations)

State Form 30353 (R8 / 9-97)

State Board of Accounts Approved 1995

SUE ANNE GILROY
SECRETARY OF STATE
CORPORATIONS DIVISION
302 W. Washington St., Rm. E018
Indianapolis, IN 46204
Telephone: (317) 232-6576

Indiana Code 23-15-1-1, et seq.

INSTRUCTIONS:

- This certificate must also be recorded in the office of County Recorder of each county in which a place of business or office is located.
- FEES ARE PER ASSUMED NAME. Please make check or money order payable to: Indiana Secretary of State.
Please TYPE or PRINT.

FILING FEES PER CERTIFICATE:

For-Profit Corporation, Limited Liability Company, Limited Partnership	\$30.00
Not-For-Profit Corporation	\$26.00
Certificate - Additional	\$15.00

1. Name of Corporation, LLC or LP Oxford Financial Group, Ltd.	2. Date of incorporation / admission January 16, 1984
3. Address at which the Corporation, LLC, LP will do business or have an office in Indiana. If no office in Indiana, then state current registered address (street address) 11711 North Meridian Street, Suite 600 City, state and ZIP code Carmel, Indiana 46032	
4. Assumed business name(s) (\$30.00 per name) "Investment Services of Oxford" "Family Office Services of Oxford" "Philanthropic Counsel of Oxford"	
5. Principal office address of the Corporation, LLC, LP (street address) 11711 North Meridian Street, Suite 600 City, state and ZIP code Carmel Indiana 46032	
6. Signature 	7. Printed name Jeffrey H. Thomasson, President

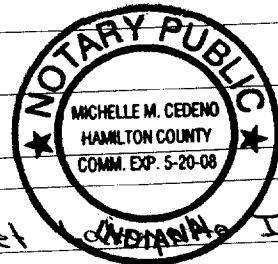
STATE OF Indiana

COUNTY OF Hamilton SS:

Subscribed and sworn or attested to before me, this 1st day of August, # 2001

Notary Public Michelle M. Cedeno

My Notarial Commission Expires: _____ My County of Residence is: _____



This instrument was prepared by: **John P. Hatter, Jr. Attorney at Law 2106 S 8th Street Indianapolis Indiana 47905**

198401-446

STATE OF INDIANA
OFFICE OF THE SECRETARY OF STATE

ARTICLES OF AMENDMENT

To Whom These Presents Come, Greeting:

WHEREAS, there has been presented to me at this office, Articles of Amendment for:

OXFORD FINANCIAL ADVISORS CORPORATION

and said Articles of Amendment have been prepared and signed in accordance with the provisions of the Indiana Business Corporation Law, as amended.

The name of the corporation is amended as follows:

THE OXFORD GROUP, LTD.

NOW, THEREFORE, I, SUE ANNE GILROY, Secretary of State of Indiana, hereby certify that I have this day filed said articles in this office.

The effective date of these Articles of Amendment is June 23, 1999.

In Witness Whereof, I have hereunto set my hand and affixed the seal of the State of Indiana, at the City of Indianapolis, this Twenty-third day of June, 1999.



198401-446

ARTICLES OF AMENDMENT
OF THE
RESTATED ARTICLES OF INCORPORATION
OF
OXFORD FINANCIAL ADVISORS CORPORATION
(which name is hereby changed to
The Oxford Group, Ltd.)

In compliance with the requirements of the Indiana Business Corporation Law, as amended (the "IBCL"), Oxford Financial Advisors Corporation, an Indiana corporation incorporated on January 16, 1984 (the "Corporation"), desiring to give notice of corporate action effectuating the amendment of its Restated Articles of Incorporation, certify the following facts:

ARTICLE I

Amendment to the Restated Articles of Incorporation

Section 1. The name of the Corporation is Oxford Financial Advisors Corporation, which shall be changed hereby to The Oxford Group, Ltd.

Section 2. Article I of the Corporation's Restated Articles of Incorporation is amended to read in its entirety as follows: The name of the Corporation is The Oxford Group, Ltd.

Section 3. The effective date of the amendment hereby effected shall be the date of filing of these Articles of Amendment with the office of the Secretary of State of the State of Indiana.

ARTICLE II

Manner of Adoption and Vote

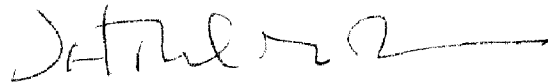
Section 1. The foregoing amendment to the Restated Articles of Incorporation was adopted by the unanimous written consent of the Board of Directors effective June 18, 1999. The Board of Directors submitted the amendment, together with its recommendation for approval and adoption, to the shareholders of the Corporation.

Section 2. The foregoing amendment to the Restated Articles of Incorporation required shareholder approval. By unanimous written consent executed as of June 21, 1999, the holders of all outstanding shares of Class A Common Stock of the Corporation (constituting all of the issued and outstanding shares of capital stock of the Corporation entitled to vote with respect to the amendment) approved and adopted the amendment to the Restated Articles of Incorporation.

Section 3. The manner of the adoption of the amendment to the Restated Articles of Incorporation and the vote by which it was adopted constitute full legal compliance with the provisions of the IBCL and the Corporation's Restated Articles of Incorporation and By-Laws.

IN WITNESS WHEREOF, the undersigned officer of Oxford Financial Advisors

Corporation has executed these Articles of Amendment this 22nd day of June, 1999.



Jeffrey H. Thomasson, President

198401-446

STATE OF INDIANA
OFFICE OF THE SECRETARY OF STATE

ARTICLES OF AMENDMENT

To Whom These Presents Come, Greeting:

WHEREAS, there has been presented to me at this office, Articles of Amendment for:

THE OXFORD GROUP, LTD.

and said Articles of Amendment have been prepared and signed in accordance with the provisions of the Indiana Business Corporation Law, as amended.

The name of the corporation is amended as follows:

OXFORD GROUP, LTD.

NOW, THEREFORE, I, SUE ANNE GILROY, Secretary of State of Indiana, hereby certify that I have this day filed said articles in this office.

The effective date of these Articles of Amendment is August 12, 1999.

In Witness Whereof, I have hereunto set my hand and affixed the seal of the State of Indiana, at the City of Indianapolis, this Twelfth day of August, 1999.


Deputy

WPL

198401-446

RECEIVED
CORPORATIONS DIV.

APPROVED
AND
FILED

99 AUG 30 AM 11:25

SUE ANNE GILROY

199909950520
Filed for Record in
HAMILTON COUNTY, INDIANA
MARY L CLARK
On 08-26-1999 At 11:13 am.
FIRM & PTR 9.00



CERTIFICATE OF ASSUMED BUSINESS NAME (All Corporations)

State Form 30353 (R8 / 9-97)
State Board of Accounts Approved 1995

SUE ANNE GILROY
SECRETARY OF STATE
CORPORATIONS DIVISION
302 W. Washington St., Rm. E018
Indianapolis, IN 46204
Telephone: (317) 232-6576

Indiana Code 23-15-1-1, et seq.

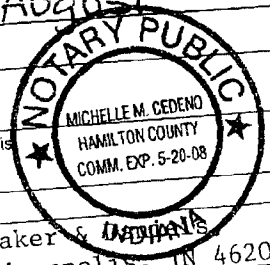
INSTRUCTIONS:
1. This certificate must also be recorded in the office of County Recorder of each county in which a place of business or office is located.
2. FEES ARE PER ASSUMED NAME. Please make check or money order payable to: Indiana Secretary of State.
Please TYPE or PRINT.

FILING FEES PER CERTIFICATE:	
For-Profit Corporation, Limited Liability Company, Limited Partnership	\$30.00
Not-For-Profit Corporation	\$26.00
Certificate - Additional	\$15.00

1. Name of Corporation, LLC or LP Oxford Group, Ltd.	2. Date of incorporation / admission January 16, 1984
3. Address at which the Corporation, LLC, LP will do business or have an office in Indiana. If no office in Indiana, then state current registered address (street address) 11711 North Meridian Street, Suite 600	
City, state and ZIP code Carmel, Indiana 46032	
4. Assumed business name(s) (\$30.00 per name) Oxford Financial Advisors	
The Oxford Family Office	
5. Principal office address of the Corporation, LLC, LP (street address) 11711 North Meridian Street, Suite 600	
City, state and ZIP code Carmel, Indiana 46032	
6. Signature 	7. Printed name Jeffrey H Thomasson

STATE OF Indiana SS:
COUNTY OF Hamilton
Subscribed and sworn or attested to before me, this 23rd day of August, 1999

Notary Public Michelle M. Cedeno
My Notarial Commission Expires: _____
My County of Residence is _____



This instrument was prepared by: John P. Hatter, Jr., Attorney at Law, Baker & ...
Suite 2700, 300 N. Meridian Street, Indianapolis, IN 46204-1782

WPA
198401-446

APPROVED
AND
FILED
IND. SECRETARY OF STATE

ARTICLES OF AMENDMENT

OF THE

RESTATED ARTICLES OF INCORPORATION

OF

**THE OXFORD GROUP, LTD.
(which name is hereby changed to
Oxford Group, Ltd.)**

RECORDED FOR
CORP. DIV.
JAN 12 11:05
SUE ALTHE GILROY

In compliance with the requirements of the Indiana Business Corporation Law, as amended (the "IBCL"), The Oxford Group, Ltd., an Indiana corporation incorporated on January 16, 1984 (the "Corporation"), desiring to give notice of corporate action effectuating the amendment of its Restated Articles of Incorporation, certify the following facts:

ARTICLE I

Amendment to the Restated Articles of Incorporation

Section 1. The name of the Corporation is The Oxford Group, Ltd., which shall be changed hereby to Oxford Group, Ltd.

Section 2. Article I of the Corporation's Restated Articles of Incorporation is amended to read in its entirety as follows: The name of the Corporation is Oxford Group, Ltd.

Section 3. The effective date of the amendment hereby effected shall be the date of filing of these Articles of Amendment with the office of the Secretary of State of the State of Indiana.

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ARTICLE II

Manner of Adoption and Vote

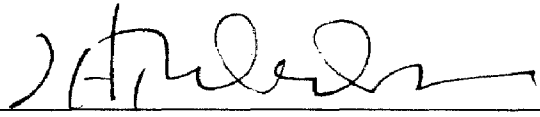
Section 1. The foregoing amendment to the Restated Articles of Incorporation was adopted by the unanimous written consent of the Board of Directors effective August 11, 1999. The Board of Directors submitted the amendment, together with its recommendation for approval and adoption, to the shareholders of the Corporation.

Section 2. The foregoing amendment to the Restated Articles of Incorporation required shareholder approval. By unanimous written consent executed as of August 11, 1999, the holders of all outstanding shares of Class A Common Stock of the Corporation (constituting all of the issued and outstanding shares of capital stock of the Corporation entitled to vote with respect to the amendment) approved and adopted the amendment to the Restated Articles of Incorporation.

Section 3. The manner of the adoption of the amendment to the Restated Articles of Incorporation and the vote by which it was adopted constitute full legal compliance with the provisions of the IBCL and the Corporation's Restated Articles of Incorporation and By-Laws.

IN WITNESS WHEREOF, the undersigned officer of Oxford Financial Advisors

Corporation has executed these Articles of Amendment this 12th day of August, 1999.



Jeffrey H. Thomasson, President