

Form PTO-1594  
(Rev. 10/02)  
OMB No. 0651-0027 (exp. 6/30/2005)

### RECORDATION FORM COVER SHEET TRADEMARKS ONLY

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

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

1. Name of conveying party(ies):

Oppenheimer Financial Corp.

- Individual(s)
- General Partnership
- Corporation-State Delaware
- Other \_\_\_\_\_
- Association
- Limited Partnership

Additional name(s) of conveying party(ies) attached?  Yes  No

3. Nature of conveyance:

- Assignment
- Security Agreement
- Other \_\_\_\_\_
- Merger
- Change of Name

Execution Date: November 3, 1997

2. Name and address of receiving party(ies)

Name: Oppenheimer & Co., Inc.

Internal

Address: \_\_\_\_\_

Street Address: 701 N. Broadway

City: Gloucester State: NJ Zip: 08030

- Individual(s) citizenship \_\_\_\_\_
- Association \_\_\_\_\_
- General Partnership \_\_\_\_\_
- Limited Partnership \_\_\_\_\_
- Corporation-State Delaware
- 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

4. Application number(s) or registration number(s):

A. Trademark Application No.(s) \_\_\_\_\_

B. Trademark Registration No.(s) 1390232 1311435  
1239737 1111059

Additional number(s) attached  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Andrew Goldner, Esq.

Internal Address: Skadden, Arps, Slate, Meagher & Flom LLP

Street Address: Four Times Square

City: New York State: NY Zip: 10036-6522

6. Total number of applications and registrations involved: \_\_\_\_\_

**4**

7. Total fee (37 CFR 3.41).....\$ 115.00

- Enclosed
- Authorized to be charged to deposit account

8. Deposit account number:

19-2385 (Our Ref: 074860/1)

**DO NOT USE THIS SPACE**

9. Signature.

Andrew Goldner

Name of Person Signing



Signature

January 29, 2003

Date

**4**

Total number of pages including cover sheet, attachments, and document.

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

For JGX - Received 12/04/2002 13:08 in 13:26 on line [0] for JGX \* Pg 4/32  
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### TRADEMARK ASSIGNMENT

THIS TRADEMARK ASSIGNMENT (the "Assignment") is made as of this 3rd day of November, 1997, by and between Oppenheimer Financial Corp., a Delaware corporation ("Assignor"), with its principal office at One World Financial Center, New York, NY, and Oppenheimer & Co., Inc., a Delaware corporation ("Assignee") and a wholly-owned subsidiary of Oppenheimer Holdings, Inc., with its principal office at One World Financial Center, New York, NY.

WHEREAS, Assignor owns the United States trademark registrations identified and set forth on Exhibit A attached hereto and incorporated herewith (collectively, the "Marks"), and the goodwill of the business associated therewith; and

WHEREAS, Assignee wishes to acquire Assignor's entire right, title and interest in and to the Marks, together with the goodwill of the business in connection with which the Marks are used;

NOW THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, Assignor does hereby sell and assign to Assignee all the right, title and interest Assignor has or may have in the Marks and in any and all other marks or names owned or used by Assignor or in which Assignor otherwise has any ownership interest and which include the listed terms of said Marks alone or in combination with other words, figures, designs or indicia, including any rights, title and interest as service marks, trademarks, tradenames and all common law rights connected therewith, together with the goodwill of the business with respect to which the Marks or any such other marks or names have been used and/or registered and all claims and causes of action relating to past infringement of said Marks or said other marks or name.

The Assignor agrees that it will execute and deliver or cause to be delivered, all such other instruments, documents and/or certificates, and will take all such other actions as Assignee may reasonably request from time to time to effectuate the transactions, provisions or purposes contemplated by this Assignment.

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IN WITNESS WHEREOF, the parties have duly executed this Assignment on the this 3rd day of November, 1997.

OPPENHEIMER FINANCIAL CORP.

By: [Signature]  
Name: Roger W. Finiger  
Title: Executive Vice President

OPPENHEIMER & CO., INC.

By: [Signature]  
Name: Roger W. Finiger  
Title: Vice Chairman & Chief Administrative Officer

STATE OF NEW YORK ) :  
COUNTY OF NEW YORK : )

s.s.

On this 3 day of November, 1997, before me personally came

Roger W. Finiger, who being sworn did depose and say that he is Executive Vice President of Oppenheimer Financial Corporation, the corporation described in and which executed the foregoing Assignment, and that he is authorized by said corporation to sign his name thereto.

[Signature]  
Notary Public

DEBRA M. GOLDBERG  
NOTARY PUBLIC, State of New York  
No. 01605066516  
Qualified in Kings County  
Commission Expires Oct. 14, 19 97

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EXHIBIT A

- Australia "Oppenheimer" = Registration No. A532788<sup>4</sup> Class 36 (Trademark No. 532788) Renewed for 10 years (4/18/2007).
- Brazil "Oppenheimer" - Application No. 818180226<sup>4</sup> and 818180234<sup>4</sup> (Classes #36.10 and #36.70 as of 12/20/94); Supplementary Petition to Trademark Application (2/17/95). Awaiting notification of registration.  
"The Brazil Private Equity Fund" trademark application #819298506 (Class 36.10 and 36.70) was filed on July 29, 1996. Awaiting registration confirmation.
- Hong Kong "Oppenheimer" & "Oppenheimer Logo" - Application No. 3352/90 (Class #16) All efforts abandoned as of June 1, 1992.
- India "Oppenheimer & Co., Inc." (Application #678968<sup>4</sup>); and "Oppenheimer India, Ltd." (Application #678969<sup>4</sup>) - Application with Power of Authorization for Trademark Protection under Class 16 (for stationery, printed mater, etc.) (use of stylistic pattern of Oppenheimer names). "Oppenheimer" filed September 5, 1995. Awaiting approval. Protection retroactive from date of filing when approved.
- Israel Service Mark Applications for "OPCO" (Classes 35 and 36), "OPPENHEIMER" (Class 42) and "OPPENHEIMER" (Classes 35 and 36) have been filed with the Trademark Office in Israel. Awaiting final approval and registration.
- Japan "Oppenheimer" - Registration No. 2443574 (As of 8/31/92) Registered for 10 years. Renewal Date: 8/31/2002
- Korea "Oppenheimer" - Registration No. 14481 (As of 7/29/91) Registered for 10 years.
- United Kingdom/EU "Oppenheimer" - Application No. 000348193 as of September 4, 1996 (Original filing date). Protection retroactive from date of filing when approved.
- United States "Oppenheimer" registered on 5/24/83, Reg. No. 1,239,737 (Renewal date: 5/23/2003).  
"Executive Assets Account" - Registered on 4/15/86, Reg. No. 1,390,232 for Oppenheimer & Co., Inc. (Renewal date: 4/14/06).  
"Brick" Oppenheimer "O" Logo registered on 1/9/79, Reg. No. 1,111,059 (Renewal Date: 1/8/99).  
"Uncommon Sense" registered on 12/25/84, Reg. No. 1,311,435 (Renewal date: 12/24/04).

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