

# TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

ETAS ID: TM304050

|                              |  |
|------------------------------|--|
| <b>SUBMISSION TYPE:</b>      | NEW ASSIGNMENT   |
| <b>NATURE OF CONVEYANCE:</b> | Affidavit Affecting Title to Marks of Compliancemax Financial Corporation effective 7/8/2008 |

**CONVEYING PARTY DATA**

| Name                                | Formerly | Execution Date | Entity Type             |
|-------------------------------------|----------|----------------|-------------------------|
| COMPLIANCEMAX FINANCIAL CORPORATION |          | 05/08/2014     | CORPORATION: CALIFORNIA |

**RECEIVING PARTY DATA**

|                          |                        |
|--------------------------|------------------------|
| <b>Name:</b>             | SOURCE MEDIA, INC.     |
| <b>Street Address:</b>   | One State Street Plaza |
| <b>Internal Address:</b> | 27th Floor             |
| <b>City:</b>             | New York               |
| <b>State/Country:</b>    | NEW YORK               |
| <b>Postal Code:</b>      | 10004                  |
| <b>Entity Type:</b>      | CORPORATION: DELAWARE  |

**PROPERTY NUMBERS Total: 1**

| Property Type               | Number  | Word Mark |
|-----------------------------|---------|-----------|
| <b>Registration Number:</b> | 3339402 | CMAX      |

**CORRESPONDENCE DATA**

**Fax Number:**

*Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent via US Mail.*

**Phone:** 571-395-4633  
**Email:** trademark@vwiplaw.com  
**Correspondent Name:** J. Paul Williamson  
**Address Line 1:** 8251 Greensboro Drive, Suite 340  
**Address Line 4:** McLean, VIRGINIA 22102

|                                |                    |
|--------------------------------|--------------------|
| <b>ATTORNEY DOCKET NUMBER:</b> | REPI.019USCO       |
| <b>NAME OF SUBMITTER:</b>      | J. Paul Williamson |
| <b>SIGNATURE:</b>              | /jpw/              |
| <b>DATE SIGNED:</b>            | 05/09/2014         |

**Total Attachments: 9**

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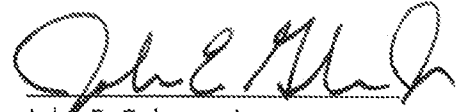
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**AFFIDAVIT AFFECTING TITLE**  
**TO MARKS OF COMPLIANCEMAX FINANCIAL CORPORATION**  
**[CMAX -- Registration No. 3,339,402]**

1. I, John E. Gebauer Jr., am of legal age, am a citizen of the United States and reside in Connecticut.
2. I am Managing Director of NRS (a.k.a. National Regulatory Services), with which business and its predecessors I have been employed since 1992.
3. In December of 2004, NRS, which was at the time an unincorporated business unit of Thomson Corporation, was acquired by Source Media, Inc., a Delaware corporation, and became an unincorporated division of Source Media, Inc.
4. On August 3, 2007, pursuant to a Stock Purchase Agreement, Source Media, Inc. acquired all the shares of ComplianceMAX Financial Corporation, a California corporation, (hereafter "CMFC"), making CMFC the wholly-owned subsidiary of Source Media, Inc.
5. To the best of my recollection, CMFC was the owner of common law trademark rights in and Federal trademark registrations for OUR PEOPLE, OUR TECHNOLOGIES, YOUR PEACE OF MIND, Reg. No. 3,236,709, COMPLIANCEMAX, Reg. No. 3,236,358 and CMAX, Reg. No. 3,339,402. Copies of these registrations are attached as Exhibit A.
6. Following the acquisition on August 3, 2007 by Source Media, Inc., the business of CMFC was merged with the business of NRS and I held the role of President. Consequently, I had personal, general knowledge of the CMFC business and assets, including the noted registered marks.
7. To the best of my knowledge, the assets of CMFC, including its trademark assets and the associated goodwill, were distributed to its parent Source Media, Inc. upon the dissolution of CMFC in July of 2008. A copy of the Certificate of Dissolution signed July 8, 2008 and filed with the Secretary of State of California on July 17, 2008 is attached as Exhibit B to this Affidavit. The

Certificate of Dissolution notes, at Section 4, that the assets were distributed to the persons entitled thereto, and to the best of my knowledge Source Media, Inc., as the parent of CMFC, was the entitled person.

8. I hereby swear that the statements made in this Affidavit are from my personal knowledge and are true or are believed to be true.



John E. Gebauer Jr.

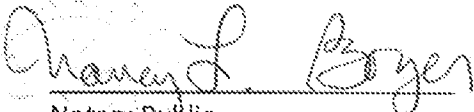
Date: May 8, 2014

State of Connecticut

County of Hartford

Before me, the undersigned notary public, this day, personally appeared John E. Gebauer Jr. to me known, who being duly sworn according to law, deposed the foregoing.

Subscribed and sworn to before me this 8<sup>th</sup> day of May, 2014.



Notary Public

My Commission Expires: 10/31/2015

# **EXHIBIT A**

**Int. Cls.: 35, 36 and 41**

**Prior U.S. Cls.: 100, 101, 102 and 107**

**United States Patent and Trademark Office**

**Reg. No. 3,339,402**

**Registered Nov. 20, 2007**

**SERVICE MARK  
PRINCIPAL REGISTER**

**CMAX**

**COMPLIANCEMAX FINANCIAL CORPORATION (CALIFORNIA CORPORATION)  
3511 CAMINO DEL RIO SOUTH, SUITE 307  
SAN DIEGO, CA 92108**

**FOR: TRAINING SERVICES IN THE FIELD OF  
SECURITIES BROKERAGE, IN CLASS 41 (U.S. CLS.  
100, 101 AND 107).**

**FOR: BUSINESS AUDITING IN THE FIELD OF  
SECURITIES, IN CLASS 35 (U.S. CLS. 100, 101 AND  
102).**

**FIRST USE 2-1-2004; IN COMMERCE 2-1-2004.**

**FIRST USE 2-1-2004; IN COMMERCE 2-1-2004.**

**THE MARK CONSISTS OF STANDARD CHAR-  
ACTERS WITHOUT CLAIM TO ANY PARTICULAR  
FONT, STYLE, SIZE, OR COLOR.**

**FOR: PROVIDING ONLINE COMPUTER DATA-  
BASE CONTAINING INFORMATION IN THE  
FIELD OF FINANCIAL SECURITIES COMPLIANCE  
THAT MAY BE ACCESSED FROM THE WORLD  
WIDE WEB; CONSULTING SERVICES IN THE  
FIELD OF SECURITIES BROKERAGE, IN CLASS  
36 (U.S. CLS. 100, 101 AND 102).**

**OWNER OF U.S. REG. NOS. 3,236,358 AND  
3,236,709.**

**SER. NO. 78-764,604, FILED 12-1-2005.**

**FIRST USE 2-1-2004; IN COMMERCE 2-1-2004.**

**DAVID MURRAY, EXAMINING ATTORNEY**

Int. Cls.: 35, 36 and 41

Prior U.S. Cls.: 100, 101, 102 and 107

**United States Patent and Trademark Office**

Reg. No. 3,236,358

Registered May 1, 2007

**SERVICE MARK  
PRINCIPAL REGISTER**

## COMPLIANCEMAX

COMPLIANCEMAX FINANCIAL CORPORATION (CALIFORNIA CORPORATION)  
3511 CAMINO DEL RIO SOUTH, SUITE 307  
SAN DIEGO, CA 92108

FOR: BUSINESS AUDITING IN THE FIELD OF SECURITIES, IN CLASS 35 (U.S. CLS. 100, 101 AND 102).

FIRST USE 2-1-2004; IN COMMERCE 2-1-2004.

FOR: PROVIDING ONLINE COMPUTER DATABASE CONTAINING INFORMATION IN THE FIELD OF FINANCIAL SECURITIES COMPLIANCE THAT MAY BE ACCESSED FROM THE WORLD WIDE WEB; CONSULTING SERVICES IN THE FIELD OF SECURITIES BROKERAGE, IN CLASS 36 (U.S. CLS. 100, 101 AND 102).

FIRST USE 2-1-2004; IN COMMERCE 2-1-2004.

FOR: TRAINING SERVICES IN THE FIELD OF SECURITIES BROKERAGE, IN CLASS 41 (U.S. CLS. 100, 101 AND 107).

FIRST USE 2-1-2004; IN COMMERCE 2-1-2004.

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PARTICULAR FONT, STYLE, SIZE, OR COLOR.

SER. NO. 78-764,623, FILED 12-1-2005.

DAVID MURRAY, EXAMINING ATTORNEY

Int. Cls.: 35, 36 and 41

Prior U.S. Cls.: 100, 101, 102 and 107

**United States Patent and Trademark Office**

Reg. No. 3,236,709

Registered May 1, 2007

**SERVICE MARK  
PRINCIPAL REGISTER**

OUR PEOPLE, OUR  
TECHNOLOGIES, YOUR PEACE  
OF MIND

COMPLIANCEMAX FINANCIAL CORPORATION (CALIFORNIA CORPORATION)  
3511 CAMINO DEL RIO SOUTH, SUITE 307  
SAN DIEGO, CA 92108

FOR: BUSINESS AUDITING IN THE FIELD OF FINANCE, IN CLASS 35 (U.S. CLS. 100, 101 AND 102).

FIRST USE 5-1-2004; IN COMMERCE 5-1-2004.

FOR: PROVIDING AN ONLINE COMPUTER DATABASE CONTAINING INFORMATION IN THE FIELD OF FINANCE THAT MAY BE ACCESSED VIA THE WORLD WIDE WEB; CONSULTING SERVICES IN THE FIELD OF FINANCE, IN CLASS 36 (U.S. CLS. 100, 101 AND 102).

FIRST USE 5-1-2004; IN COMMERCE 5-1-2004.

FOR: TRAINING SERVICES IN THE FIELD OF FINANCE, IN CLASS 41 (U.S. CLS. 100, 101 AND 107).

FIRST USE 5-1-2004; IN COMMERCE 5-1-2004.

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PARTICULAR FONT, STYLE, SIZE, OR COLOR.

SER. NO. 78-358,557, FILED 4-11-2006.

DAVID MURRAY, EXAMINING ATTORNEY



# **EXHIBIT B**



State of California Secretary of State

C2767690

DOMESTIC STOCK CORPORATION CERTIFICATE OF DISSOLUTION

There is no fee for filing a Certificate of Dissolution. IMPORTANT - Read instructions before completing this form.

FILED in the office of the Secretary of State of the State of California

JUL 17 2008

This Space For Use Only

CORPORATE NAME. (Enter the name of the domestic stock corporation exactly as it is of record with the California Secretary of State.)

1. Name of corporation: COMPLIANCEMAX FINANCIAL CORPORATION

REQUIRED STATEMENTS (The following statements are required by statute and should not be altered.)

- 2. a) A final franchise tax return... b) The corporation has completely wound up. c) The corporation is dissolved.

DEBTS & LIABILITIES (Check the applicable statement. Note: Only one box may be checked.)

- 3. [X] The corporation's known debts and liabilities have been actually paid. [ ] The corporation's known debts and liabilities have been paid as far as its assets permitted. [ ] The corporation's known debts and liabilities have been adequately provided for by their assumption and the name and address of the assumer is... [ ] The corporation never incurred any known debts or liabilities.

ASSETS (Check the applicable statement. Note: Only one box may be checked.)

- 4. [X] The known assets have been distributed to the persons entitled thereto. [ ] The corporation never acquired any known assets.

ELECTION (Check the YES or NO box, as applicable. Note: If the NO box is checked, a Certificate of Election to Void the Dissolution pursuant to Corporations Code section 1801 must be filed prior to or together with this Certificate of Dissolution.)

- 5. The election to dissolve was made by the vote of all the outstanding shares. [X] YES [ ] NO

VERIFICATION & EXECUTION (If additional signature space is necessary, the dated signature(s) may be made on an attachment to this certificate. Any attachments to this certificate are incorporated herein by this reference.)

6. The undersigned constitute(s) the sole director or a majority of the directors now in office. I declare under penalty of perjury under the laws of the State of California that the matters set forth in this certificate are true and correct of my own knowledge.

Date: 7/8/08 Signature of Director

William F. Johnston Type or Print Name of Director

Signature of Director

Type or Print Name of Director

Signature of Director

Type or Print Name of Director



I hereby certify that the foregoing  
transcript of ..... page(s)  
is a full, true and correct copy of the  
original record in the custody of the  
California Secretary of State's office.

APR 02 2014 ALL

Date: \_\_\_\_\_

*Debra Bowen*  
DEBRA BOWEN, Secretary of State