

## TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

ETAS ID: TM602866

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	MERGER AND CHANGE OF NAME
<b>EFFECTIVE DATE:</b>	06/30/2019

## CONVEYING PARTY DATA

Name	Formerly	Execution Date	Entity Type
ACA Risk Strategies, LLC		06/30/2019	Limited Liability Company: NEW YORK

## NEWLY MERGED ENTITY DATA

Name	Execution Date	Entity Type
Adviser Compliance Associates, L.L.C.	06/30/2019	Limited Liability Company: D.C.

## MERGED ENTITY'S NEW NAME (RECEIVING PARTY)

<b>Name:</b>	Adviser Compliance Associates, L.L.C.
<b>Street Address:</b>	8401 Colesville Road
<b>Internal Address:</b>	Suite 700
<b>City:</b>	Silver Spring
<b>State/Country:</b>	MARYLAND
<b>Postal Code:</b>	20910
<b>Entity Type:</b>	Limited Liability Company: D.C.

## PROPERTY NUMBERS Total: 1

Property Type	Number	Word Mark
Registration Number:	4644937	APONIX

## CORRESPONDENCE DATA

Fax Number: 2026544246

*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.*

Phone: 2026544516

Email: scott.benfield@haynesboone.com

Correspondent Name: Scott E. Benfield

Address Line 1: 800 17th Street, NW

Address Line 2: Suite 500

Address Line 4: Washington, D.C. 20006

<b>NAME OF SUBMITTER:</b>	Scott E. Benfield
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OP \$40.00 4644937

<b>SIGNATURE:</b>	/Scott E. Benfield/
<b>DATE SIGNED:</b>	10/14/2020
<b>Total Attachments: 5</b> source=Certificate of Merger - (NY- LLC) ACA Risk Strategies (NY) into Adviser Compliance Associates (DC)#page1.tif source=Certificate of Merger - (NY- LLC) ACA Risk Strategies (NY) into Adviser Compliance Associates (DC)#page2.tif source=Certificate of Merger - (NY- LLC) ACA Risk Strategies (NY) into Adviser Compliance Associates (DC)#page3.tif source=Certificate of Merger - (NY- LLC) ACA Risk Strategies (NY) into Adviser Compliance Associates (DC)#page4.tif source=Certificate of Merger - (NY- LLC) ACA Risk Strategies (NY) into Adviser Compliance Associates (DC)#page5.tif	

FILING RECEIPT

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ENTITY NAME: ADVISER COMPLIANCE ASSOCIATES, L.L.C.

DOCUMENT TYPE: MERGER (FOR LLC)  
PROCESS

COUNTY: NEWY

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FILED:06/27/2019 DURATION:\*\*\*\*\* CASH#:190627000571 FILM #:190627000547

FILER:

EFFECT DATE

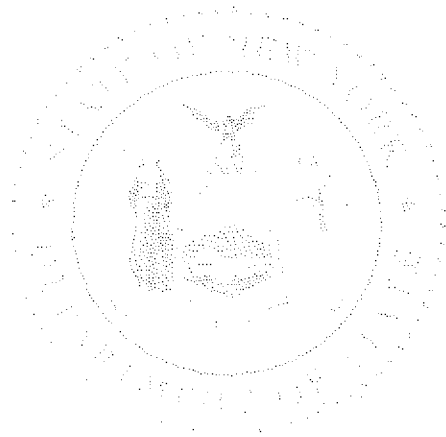
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LAURA-JAYNE URSO  
C/O KIRKLAND & ELLIS LLP  
601 LEXINGTON AVENUE, 39TH FLOOR  
NEW YORK, NY 10022

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06/30/2019

ADDRESS FOR PROCESS:

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C/O CORPORATION SERVICE COMPANY  
80 STATE STREET  
ALBANY, NY 12207-2543

REGISTERED AGENT:



CONSTITUENT NAME: ACA RISK STRATEGIES, LLC

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SERVICE COMPANY: CORPORATION SERVICE COMPANY - 45

SERVICE CODE: 45

FEES            370.00  
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FILING           60.00  
TAX              0.00  
CERT             0.00  
COPIES          10.00  
HANDLING        300.00

PAYMENTS       370.00  
-----  
CASH             0.00  
CHECK            0.00  
CHARGE           0.00  
DRAWDOWN        370.00  
OPAL             0.00  
REFUND           0.00

824071R4M

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TRADEMARK

DOS-1025 (04/2007)

REEL: 007076 FRAME: 0416

***STATE OF NEW YORK***  
***DEPARTMENT OF STATE***

I hereby certify that the annexed copy has been compared with the original document in the custody of the Secretary of State and that the same is a true copy of said original.



WITNESS my hand and official seal of the  
Department of State, at the City of Albany, on  
June 27, 2019.

*Brendan C. Hughes*

Brendan C. Hughes  
Executive Deputy Secretary of State



Division of Corporations,  
State Records and  
Uniform Commercial Code

190627000 547

Department of State  
DIVISION OF CORPORATIONS,  
STATE RECORDS AND  
UNIFORM COMMERCIAL CODE  
One Commerce Plaza  
99 Washington Ave.  
Albany, NY 12231-0001  
www.dos.ny.gov

CSC 45  
Drawdown

CERTIFICATE OF MERGER  
OF

ACA Risk Strategies, LLC

*(Insert Name of Domestic Entity)*

AND

Adviser Compliance Associates, L.L.C.

*(Insert Name of Foreign Limited Liability Company)*

INTO

Adviser Compliance Associates, L.L.C.

*(Insert Name of Foreign Limited Liability Company)*

Under Section 1003 of the Limited Liability Company Law

**FIRST:** The name (and if the name has been changed, the name under which it was formed) and jurisdiction of formation or organization of each limited liability company or other business entity that is to merge is:

ACA Risk Strategies, LLC, a New York limited liability company  
Adviser Compliance Associates, L.L.C., a District of Columbia limited liability company

**SECOND:** For each domestic limited liability company and domestic other business entity, the date when its initial articles of organization or formation document was filed with Department of State is:

ACA Risk Strategies, LLC (Formerly Aponix FT LLC) was formed in New York on June 12, 2014

**THIRD:** For each foreign limited liability company and foreign other business entity, the jurisdiction and date of filing of its original articles of organization or formation document and the date when its application for authority was filed with the Department of State is (if no such application has been filed, a statement to such effect and a statement that the foreign surviving limited liability company is not to do business in this state until it has filed an application for authority with the Department of State):

Adviser Compliance Associates, L.L.C. was formed in the District of Columbia in October 1, 2001. An Application for Authority was filed in New York on November 23, 2011.

**FOURTH:** The agreement of merger has been approved and executed by each domestic limited liability company or other business entity that is to merge.

**FIFTH:** The name of the surviving foreign limited liability company is:

Adviser Compliance Associates, L.L.C.

SIXTH: The effective date of merger, if it is not to be effective upon the filing of the Certificate of Merger, is:

June 30, 2019

\_\_\_\_\_ (A future effective date may not exceed 30 days from the date of filing.)

SEVENTH: The surviving foreign limited liability company may be served with process in this state in any action or special proceeding for the enforcement of any liability or obligation of any domestic limited liability company, domestic business corporation or domestic other business entity previously amenable to suit in this state that is to merge and for the enforcement that is provided in the Limited Liability Company Law of the right of members of any domestic limited liability company, shareholders of any domestic business corporation or owners of any domestic other business entity to receive payment for their interests against the surviving foreign limited liability company.

EIGHTH: Pursuant to Section 623 of the Business Corporation Law, Section 1005 of the Limited Liability Company Law or any applicable statute, the surviving foreign limited liability company will promptly pay to the shareholders of each domestic business corporation, members of each domestic limited liability company or owners of any constituent other business entity the amount, if any, to which they shall be entitled under the provisions of the Business Corporation Law, Limited Liability Company Law and any applicable statute relating to the right of shareholders, members and owners to receive payment for their interest.

NINTH: The Secretary of State is designated as agent of the foreign limited liability company upon whom process against it may be served. The address within or without this state to which the Secretary of State shall mail a copy of any process served upon him or her is:

c/o Corporation Service Company  
80 State Street, Albany, NY 12207

TENTH: This merger is permitted by the jurisdiction of incorporation or organization for each foreign other business entity and foreign limited liability company and is in compliance therewith.

ELEVENTH: The agreement of merger is on file at the following place of business of the surviving foreign limited liability company:

8401 Colesville Road, Suite 700  
Silver Spring, MD 20910

TWELFTH: A copy of the agreement of merger will be furnished by the surviving foreign limited liability company on request and without cost to any member of any domestic limited liability company or to any person holding an interest in any other business entity that is to merge pursuant to such agreement.

ACA Risk Strategies, LLC

(Name of Domestic Entity)

Adviser Compliance Associates, L.L.C.

(Name of Foreign Limited Liability Company)

x   
(Signature)

x   
(Signature)

Matthew Steinhilber

(Type or Print Name)

Matthew Steinhilber

(Type or Print Name)

Authorized Person

(Capacity of Signer)

Authorized Person

(Capacity of Signer)

100827000547

CSC 45  
Drawdown

CERTIFICATE OF MERGER  
OF  
ACA Risk Strategies, LLC

(Insert Name of Domestic Entity)

AND

Adviser Compliance Associates, L.L.C.

(Insert Name of Foreign Limited Liability Company)

INTO

Adviser Compliance Associates, L.L.C.

(Insert Name of Foreign Limited Liability Company)

Under Section 1003 of the Limited Liability Company Law

Filer's Name and Mailing Address:  
Laura-Jayne Urso

Name:

c/o Kirkland & Ellis LLP

Company, if Applicable:

601 Lexington Avenue, 39th Floor

Mailing Address:

New York, NY 10022

City, State and Zip Code:

Cust. Ref. # 824071R4M

NOTES:

1. The name(s) of the limited liability company or other business entity and the date(s) of filing of the articles of organization, formation or qualification document must exactly match the records of the Department of State. This information should be verified on the Department of State's website at [www.dos.ny.gov](http://www.dos.ny.gov).
2. This form was prepared by the New York State Department of State for filing a certificate of merger with a foreign limited liability company survivor. It does not contain all optional provisions under the law. You are not required to use this form. You may draft your own form or use forms available at legal supply stores.
3. The Department of State recommends that legal documents be prepared under the guidance of an attorney.
4. The certificate must be submitted with a \$60 filing fee made payable to the Department of State.

(For office use only)

RECEIVED  
2019 JUN 27 6:11:53

1cc  
STATE OF NEW YORK  
DEPARTMENT OF STATE

FILED JUN 27 2019

TAX \$ \_\_\_\_\_

BY:       N