

## TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

ETAS ID: TM653078

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT		
<b>NATURE OF CONVEYANCE:</b>	ENTITY CONVERSION		
<b>CONVEYING PARTY DATA</b>			
<b>Name</b>	<b>Formerly</b>	<b>Execution Date</b>	<b>Entity Type</b>
Gradient Financial Group, LLC		08/31/2018	Limited Liability Company: MINNESOTA
<b>RECEIVING PARTY DATA</b>			
<b>Name:</b>	Gradient Financial Group, LLC		
<b>Street Address:</b>	4105 Lexington Avenue North, Suite 100		
<b>City:</b>	Arden Hills		
<b>State/Country:</b>	MINNESOTA		
<b>Postal Code:</b>	55126		
<b>Entity Type:</b>	Limited Liability Company: DELAWARE		
<b>PROPERTY NUMBERS Total: 5</b>			
<b>Property Type</b>	<b>Number</b>	<b>Word Mark</b>	
<b>Registration Number:</b>	4438302	REEL ADVISOR	
<b>Registration Number:</b>	5389143	NEW GENERATION PLANNING	
<b>Registration Number:</b>	5393935	NEW GENERATION TECHNOLOGY	
<b>Registration Number:</b>	5389144	NEW GENERATION RETIREMENT	
<b>Registration Number:</b>	5335065	NEW GENERATION RETIREMENT PLANNING SYSTE	
<b>CORRESPONDENCE DATA</b>			
<b>Fax Number:</b>	6123343312		
<i>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.</i>			
<b>Phone:</b>	6123343222		
<b>Email:</b>	mneumann@wck.com		
<b>Correspondent Name:</b>	Z. Peter Sawicki		
<b>Address Line 1:</b>	121 South Eighth Street, Suite 1100		
<b>Address Line 2:</b>	Westman, Champlin & Koehler, P.A.		
<b>Address Line 4:</b>	Minneapolis, MINNESOTA 55402		
<b>ATTORNEY DOCKET NUMBER:</b>	G108		
<b>NAME OF SUBMITTER:</b>	Z. Peter Sawicki		
<b>SIGNATURE:</b>	/Z. Peter Sawicki/		
<b>DATE SIGNED:</b>	06/10/2021		

OP \$140.00 4438302

**Total Attachments: 7**

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source=Gradient Financial Group LLC\_ Certificate of Formation (Filed)#page1.tif

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# Delaware

The First State

Page 1

*I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF CONVERSION OF A MINNESOTA LIMITED LIABILITY COMPANY UNDER THE NAME OF "GRADIENT FINANCIAL GROUP, LLC" TO A DELAWARE LIMITED LIABILITY COMPANY, FILED IN THIS OFFICE ON THE ELEVENTH DAY OF SEPTEMBER, A.D. 2018, AT 9:12 O`CLOCK A.M.*



  
Jeffrey W. Bullock, Secretary of State

7051133 8100F  
SR# 20186585900

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

Authentication: 203404824  
Date: 09-12-18

**TRADEMARK**  
**REEL: 007322 FRAME: 0982**

**CERTIFICATE OF CONVERSION**  
**OF**  
**GRADIENT FINANCIAL GROUP, LLC**

The undersigned hereby files this Certificate of Conversion pursuant to Section 18-214 of the Delaware Limited Liability Company Act and hereby certifies as follows:

1. The jurisdiction where the Non-Delaware Limited Liability Company first formed is Minnesota.
2. The jurisdiction immediately prior to filing this Certificate of Conversion is Minnesota.
3. The date the Non-Delaware Limited Liability Company first formed is September 18, 2008.
4. The name of the Non-Delaware Limited Liability Company immediately prior to filing this Certificate of Conversion is Gradient Financial Group, LLC.
5. The name of the Limited Liability Company as set forth in the Certificate of Formation is Gradient Financial Group, LLC.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Conversion as of the 31 day of August, 2018.



Charles E. Lucius,  
Authorized Person

# Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE DO HEREBY CERTIFY THAT THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF FORMATION OF "GRADIENT FINANCIAL GROUP, LLC" FILED IN THIS OFFICE ON THE ELEVENTH DAY OF SEPTEMBER, A.D. 2018, AT 9:12 O`CLOCK A.M.



  
Jeffrey W. Bullock, Secretary of State

7051133 8100F  
SR# 20186585900

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

Authentication: 203404824  
Date: 09-12-18

**TRADEMARK**  
**REEL: 007322 FRAME: 0984**

**CERTIFICATE OF FORMATION**  
**OF**  
**GRADIENT FINANCIAL GROUP, LLC**

The undersigned, being duly authorized to execute this Certificate of Formation, hereby executes this Certificate of Formation in order to form a limited liability company pursuant to the laws of the State of Delaware.

1. **Name.** The name of this limited liability company shall be Gradient Financial Group, LLC.

2. **Registered Office and Agent.** The registered office and registered agent of this limited liability company is:

The Corporation Trust Company  
Corporation Trust Center  
1209 Orange Street  
Wilmington, DE 19801  
New Castle County

IN WITNESS WHEREOF, the undersigned, an authorized person, has caused this Certificate of Formation to be duly executed as of August 31, 2018.



Charles E. Lucius,  
Authorized Person

## Office of the Minnesota Secretary of State Certificate of Authority

I, Steve Simon, Secretary of State of Minnesota, do certify that: The following business entity has duly complied with the relevant provisions of Minnesota Statutes listed below, and is formed or authorized to do business in Minnesota on and after this date with all the powers, rights and privileges, and subject to the limitations, duties and restrictions, set forth in that chapter.

The business entity is now legally registered under the laws of Minnesota.

Name in Minnesota: Gradient Financial Group, LLC

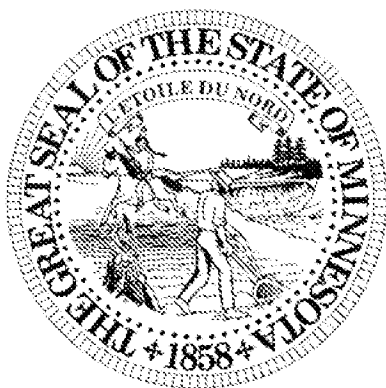
Name in Home Jurisdiction: Gradient Financial Group, LLC

File Number: 1031772300020

Minnesota Statutes, Chapter: 322C

Home Jurisdiction: Delaware

This certificate has been issued on: 09/12/2018



A handwritten signature in black ink that reads "Steve Simon". The signature is written in a cursive style.

Steve Simon  
Secretary of State  
State of Minnesota

**Office of the Minnesota Secretary of State**  
**Foreign Limited Liability Company / Certificate of Authority to Transact**  
**Business in Minnesota**

*Minnesota Statutes, Chapter 322C*



**This Certificate of Authority has been approved pursuant to *Minnesota Statutes, Chapter 322C*. By filing this Certificate of Authority, the company certifies that it has complied with the organization laws in the jurisdiction of its organization.**

LIMITED LIABILITY COMPANY NAME in HOME JURISDICTION:

**Gradient Financial Group, LLC**

LIMITED LIABILITY COMPANY NAME in MINNESOTA:

**Gradient Financial Group, LLC**

HOME JURISDICTION:

**Delaware**

REGISTERED OFFICE AND AGENT:

Name

Address:

**Charles E. Lucius**

**4105 Lexington Avenue Suite 100 Arden Hills MN 55126 USA**

PRINCIPAL PLACE of BUSINESS ADDRESS:

**4105 Lexington Avenue Suite 100 Arden Hills MN 55126  
USA**

HOME OFFICE ADDRESS:

**c/o The Corporation Trust Company 1209 Orange Street  
Wilmington DE 19801**

If you submit an attachment, it will be incorporated into this document. If the attachment conflicts with the information specifically set forth in this document, this document supersedes the data referenced in the attachment.

***By typing my name, I, the undersigned, certify that I am signing this document as the person whose signature is required, or as agent of the person(s) whose signature would be required who has authorized me to sign this document on his/her behalf, or in both capacities. I further certify that I have completed all required fields, and that the information in this document is true and correct and in compliance with the applicable chapter of Minnesota Statutes. I understand that by signing this document I am subject to the penalties of perjury as set forth in Section 609.48 as if I had signed this document under oath.***

SIGNED BY: **Charles E. Lucius**

EMAIL FOR OFFICIAL NOTICES: **awasserburger@gradientfg.com**





**Work Item 1031772300020**  
**Original File Number 1031772300020**

STATE OF MINNESOTA  
OFFICE OF THE SECRETARY OF STATE  
FILED  
**09/12/2018 11:59 PM**

*Steve Simon*

Steve Simon  
Secretary of State