

10-07-1999

TRADEMARK
Docket No. 3635-4003



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AND TRADEMARK OFFICE
ON COVER SHEET

MED 9-30-99

HON. COMMISSIONER OF PATENTS AND TRADEMARKS
BOX ASSIGNMENTS
Washington, D.C. 20231

Sir:

Please record the attached original documents or copies thereof.

1. Submission Type:

- New
- Resubmission (Non-Recordation) - Document ID# _____
- Correction of PTO Error: Reel # _____ Frame # _____
- Corrective Document: Reel # _____ Frame # _____

2. Name Of Conveying Party(ies):

Name: Seligman Financial Services, Inc.

Formerly _____

Execution Date (Month/Day/Year) September 17, 1998

- Individual(s)
- General Partnership
- Corporation
- Association
- Limited Partnership
- Other _____

Citizenship/State of Incorporation Delaware

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

3. Name and address of receiving party(ies):

Name: Seligman Advisors, Inc.

DBA/AKA/TA: _____

Address: 100 Park Avenue

City New York State NY ZIP 10017

- Individual(s)
- Association
- General Partnership
- Limited Partnership
- Corporation-
- Other

Citizenship/State of Incorporation Delaware

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TRADEMARK
REEL: 001971 FRAME: 0460

If assignee is not domiciled in the U.S., a domestic representative designation is attached: Yes No
(Designation must be a separate document from Assignment).

Additional name(s) & address(es) attached? Yes No

4. Conveyance Type:

- | | |
|---|--|
| <input type="checkbox"/> Assignment | <input type="checkbox"/> Merger |
| <input type="checkbox"/> Security Agreement | <input checked="" type="checkbox"/> Change of Name |
| <input type="checkbox"/> License | <input type="checkbox"/> Nunc Pro Tunc Assignment |
| <input type="checkbox"/> Other | |

Effective Date: _____ (if nunc pro tunc assignment)

5. Application Number(s) or Registration Number(s):

Trademark Application No.(s) _____

Trademark registration No.(s) 872,771 _____

Additional numbers attached? Yes No

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

Name: Tony V. Pezzano, Esq. c/o Morgan & Finnegan L.L.P.

Internal Address: _____

Street Address: 345 Park Avenue

City New York State New York ZIP 10154

Area Code and Telephone Number (212) 415-8598

7. Total number of applications and registrations involved: 1

8. Total fee (37 CFR 3.41):.....\$ 40.00

- Enclosed
 Authorized to be charged to deposit account

9. Deposit Account Number: 13-4500. Authorization to charge additional fees to deposit account: Yes No

10. Statement and Signature

3

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. Charges to deposit account are authorized, as indicated herein

Tony V. Pezzano Ty Pezzano 9/30/99
Name of Person Signing Signature Date

Total amount of pages in cover sheet: 3

FORM: REC-TM.NY
Rev. 10/04/94

State of Delaware
Office of the Secretary of State

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "SELIGMAN FINANCIAL SERVICES, INC.", CHANGING ITS NAME FROM "SELIGMAN FINANCIAL SERVICES, INC." TO "SELIGMAN ADVISORS, INC.", FILED IN THIS OFFICE ON THE TWENTY-FOURTH DAY OF SEPTEMBER, A.D. 1998, AT 10 O'CLOCK A.M.



A handwritten signature in cursive script, reading "Edward J. Freel".

Edward J. Freel, Secretary of State

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981371940

AUTHENTICATION: 9321778

DATE: 09-25-98

TRADEMARK
REEL: 001971 FRAME: 0463

**CERTIFICATE OF AMENDMENT
OF
RESTATED CERTIFICATE OF INCORPORATION**

Seligman Financial Services, Inc., a corporation organized and existing under and by virtue of the General Corporation Law of the State of Delaware (the "Corporation"), DOES HEREBY CERTIFY:

FIRST: That the Board of Directors of the Corporation, by the unanimous written consent of its members filed with the minutes of the Board, adopted a resolution proposing and declaring advisable the following amendment to the Restated Certificate of Incorporation of the Corporation and recommended to the sole stockholder the consideration for approval thereof. The resolution setting forth the proposed amendment is as follows:

RESOLVED, that in accordance with ARTICLE IX of the Restated Certificate of Incorporation of the Corporation the Board of Directors hereby proposes and declares advisable an amendment to ARTICLE I of the Restated Certificate of Incorporation of the Corporation so that amended it shall read:

ARTICLE I: The name of the corporation (hereinafter called the Corporation) is:

Seligman Advisors, Inc.

SECOND: That thereafter, pursuant to a resolution of the Board of Directors, the sole stockholder of the Corporation by written consent filed with the minutes of meetings of the sole stockholder, approved the amendment.

THIRD: That the aforesaid amendment was duly adopted in accordance with the applicable provisions of Sections 242 and 228 of the General Corporation Law of the State of Delaware.

IN WITNESS WHEREOF, said Corporation has caused this certificate to be signed by Stephen J. Hodgdon, its President, this 17th day of September, 1998.

Seligman Financial Services, Inc.

By 