

TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

ETAS ID: TM506544

SUBMISSION TYPE:	NEW ASSIGNMENT		
NATURE OF CONVEYANCE:	Trademark Assignment		
CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
Regulatory Compliance, LLC		01/11/2019	Limited Liability Company: NEW HAMPSHIRE
RECEIVING PARTY DATA			
Name:	Foreside Financial Group, LLC		
Street Address:	Three Canal Plaza, Suite 100		
City:	Portland		
State/Country:	MAINE		
Postal Code:	04101		
Entity Type:	Limited Liability Company: DELAWARE		
PROPERTY NUMBERS Total: 3			
Property Type	Number	Word Mark	
Registration Number:	4733165	FINTRAX	
Registration Number:	4787128	FINTRAX	
Registration Number:	4377304	REGULATORY COMPLIANCE	
CORRESPONDENCE DATA			
Fax Number:	2027393001		
<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>			
Phone:	202.739.3000		
Email:	jennifer.evans@morganlewis.com		
Correspondent Name:	Morgan, Lewis & Bockius LLP		
Address Line 1:	1111 Pennsylvania Avenue, NW		
Address Line 4:	Washington, D.C. 20004		
ATTORNEY DOCKET NUMBER:	119934.0006		
NAME OF SUBMITTER:	Jennifer C. Evans		
SIGNATURE:	/jce/		
DATE SIGNED:	01/18/2019		
Total Attachments: 5			
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TRADEMARK ASSIGNMENT

This Trademark Assignment ("Assignment Agreement") is made and entered into as of January 11, 2019 (the "Effective Date"), by and between REGULATORY COMPLIANCE SERVICES, LLC, a Delaware limited liability company, REGULATORY COMPLIANCE, LLC, a New Hampshire limited liability company and NATIONAL COMPLIANCE SERVICES, INC., a Florida corporation (the "Assignors"), and FORESIDE FINANCIAL GROUP, LLC, a Delaware limited liability company ("Assignee").

WHEREAS, the Assignors are the owners of the marks set forth on Schedule A hereto, including the applications and/or registrations for such marks and all other trademarks and service marks used in connection with and associated with business conducted by the Assignors (the "Marks"), and the goodwill of the business associated with the Marks, and desire to assign all of Assignors' right, title, and interest in and to the Marks along with the associated goodwill to the Assignee; and

WHEREAS, Assignee wishes to obtain the Marks, including all of Assignors' right, title, and interest in and to the Mark and its associated goodwill.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereby agree as follows:

1. Each Assignor hereby sells, conveys, transfers, assigns and delivers to Assignee, and Assignee hereby acquires, and accepts from Assignor, all of such Assignor's right, title, and interest in, to, and under the Marks, including all goodwill associated therewith and all rights of action and remedies for past, present, and future infringements of any of the Marks, in each case, free and clear of all liens, the same to be held and fully enjoyed by Assignee, its successors, assigns and other legal representatives.
2. Each Assignor shall execute and deliver any and all instruments and documents and take such further actions as may be necessary or reasonably requested by Assignee to document and record with the appropriate authorities the aforesaid assignment and transfer of the Marks.
3. Each Assignor hereby authorizes and requests the Commissioner for Trademarks of the United States Patent and Trademark Office, and any other applicable governmental authority, to issue or transfer the Marks to Assignee, as assignee of the entire right, title, and interest therein or otherwise as Assignee may direct. Assignee shall have the right to record this Assignment Agreement with all applicable government authorities so as to perfect its ownership of the Marks.
4. This Assignment Agreement may be executed in counterparts, each of which will be deemed an original, but all of which together constitute one and the same original.

[Signature page follows]

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be duly executed by their respective authorized officers as of the date first written above.

Assignor:

REGULATORY COMPLIANCE SERVICES, LLC

By: William J. Almeida
Name: William J. Almeida
Title: COO

REGULATORY COMPLIANCE, LLC

By: William J. Almeida
Name: William J. Almeida
Title: CEO, Partner

NATIONAL COMPLIANCE SERVICES, INC.

By: _____
Name:
Title:

[Signature Page to Trademark Assignment]

TRADEMARK
REEL: 006529 FRAME: 0881

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be duly executed by their respective authorized officers as of the date first written above.

Assignor:


REGULATORY COMPLIANCE SERVICES, LLC

By: _____
Name:
Title:

REGULATORY COMPLIANCE, LLC

By: _____
Name:
Title:

NATIONAL COMPLIANCE SERVICES, INC.

By: 
Name: Rita G. Daw
Title: President

{Signature Page to Trademark Assignment}

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be duly executed by their respective authorized officers as of the date first written above.

Assignee:

FORESIDE FINANCIAL GROUP, LLC

By: David Whitaker
Name: David Whitaker
Title: President

[Signature Page to Trademark Assignment]

**TRADEMARK
REEL: 006529 FRAME: 0883**

Schedule A

Marks

- FINTRAX (word mark) – USPTO Trademark Registration #4,733,165
- FINTRAX (plus Design) – USPTO Trademark Registration #4,787,128:

FinTrax

- Regulatory Compliance (plus Design) – USPTO Trademark Registration #4,377,304:

