

TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

ETAS ID: TM532595

SUBMISSION TYPE:		NEW ASSIGNMENT	
NATURE OF CONVEYANCE:		ENTITY CONVERSION	
CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
Global Financial Private Capital LLC		07/08/2019	Limited Liability Company: FLORIDA
RECEIVING PARTY DATA			
Name:	Global Financial Private Capital, Inc.		
Street Address:	501 N. Cattlemen Road, Suite 106		
City:	Sarasota		
State/Country:	FLORIDA		
Postal Code:	34232		
Entity Type:	Corporation: FLORIDA		
PROPERTY NUMBERS Total: 1			
Property Type	Number	Word Mark	
Serial Number:	87385433	ALPHAPEAK	
CORRESPONDENCE DATA			
Fax Number:	4156533775		
<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:	4156533750		
Email:	ipdocketingsf@venable.com		
Correspondent Name:	Susan Hollander & Sharoni Finkelstein		
Address Line 1:	Venable LLP		
Address Line 2:	101 California Street, Suite 3800		
Address Line 4:	San Francisco, CALIFORNIA 94111		
ATTORNEY DOCKET NUMBER:	132926398124 ALPHAPEAK		
NAME OF SUBMITTER:	Sharoni S. Finkelstein		
SIGNATURE:	/Sharoni S. Finkelstein/		
DATE SIGNED:	07/18/2019		
Total Attachments: 7			
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State of Florida

Department of State

I certify from the records of this office that GLOBAL FINANCIAL PRIVATE CAPITAL, INC. is a corporation organized under the laws of the State of Florida, filed on July 9, 2019, effective August 14, 2018.

The document number of this corporation is P19000055082.

I further certify that said corporation has paid all fees due this office through December 31, 2019 and that its status is active.

I further certify that said corporation has not filed Articles of Dissolution.

*Given under my hand and the
Great Seal of the State of Florida
at Tallahassee, the Capital, this
the Fifteenth day of July, 2019*



Randy Be
Secretary of State

Tracking Number: 1616428653CU

To authenticate this certificate, visit the following site, enter this number, and then follow the instructions displayed.

<https://services.sunbiz.org/Filings/CertificateOfStatus/CertificateAuthentication>

TRADEMARK

REEL: 006699 FRAME: 0680

State of Florida



Department of State

I certify the attached is a true and correct copy of the Certificate of Conversion and Articles of Incorporation, filed on July 9, 2019, with an organizational date deemed effective June 7, 2004, for GLOBAL FINANCIAL PRIVATE CAPITAL, INC., the resulting Florida corporation, as shown by the records of this office.

The document number of this entity is P19000055082.

Given under my hand and the
Great Seal of the State of Florida
at Tallahassee, the Capital, this the
Sixteenth day of July, 2019



Laurel M. Lee

Laurel M. Lee

Secretary of State

CR2E022 (01-11)

TRADEMARK

REEL: 006699 FRAME: 0681

Certificate of Conversion
For
"Other Business Entity"
Into
Florida Profit Corporation

This Certificate of Conversion and attached Articles of Incorporation are submitted to convert the following "Other Business Entity" into a Florida Profit Corporation in accordance with s. 607.1115, Florida Statutes.

1. The name of the "Other Business Entity" immediately prior to the filing of this Certificate of Conversion is:
Global Financial Private Capital, LLC

Enter Name of Other Business Entity

2. The "Other Business Entity" is a limited liability company
(Enter entity type. Example: limited liability company, limited partnership,
general partnership, common law or business trust, etc.)

first organized, formed or incorporated under the laws of Florida
(Enter state, or if a non-U.S. entity, the name of the country)

on 07/12/2019
Enter date "Other Business Entity" was first organized, formed or incorporated

3. If the jurisdiction of the "Other Business Entity" was changed, the state or country under the laws of which it is now organized, formed or incorporated:

4. The name of the Florida Profit Corporation as set forth in the attached Articles of Incorporation:
Global Financial Private Capital, Inc.

Enter Name of Florida Profit Corporation

5. If not effective on the date of filing, enter the effective date: _____
(The effective date: Cannot be prior to nor more than 90 days after the date this document is filed by the Florida Department of State.)

Note: If the date inserted in this block does not meet the applicable statutory filing requirements, this date will not be listed as the document's effective date on the Department of State's records.

FILED
19 JUL -9 PM 4:15
DEPARTMENT OF STATE
TALLAHASSEE, FLORIDA

Signed this 8th day of July, 2019.

Required Signature for Florida Profit Corporation:

Signature of Chairman, Vice Chairman, Director, Officer, or, if Directors or Officers have not been selected, an Incorporator: [Signature]
Printed Name: Naomi J. McKean Title: Secretary

Required Signature(s) on behalf of Other Business Entity: [See below for required signature(s).]

Signature: [Signature]
Printed Name: Naomi J. McKean Title: Secretary

Signature: _____
Printed Name: _____ Title: _____

Signature: _____
Printed Name: _____ Title: _____

Signature: _____
Printed Name: _____ Title: _____

Signature: _____
Printed Name: _____ Title: _____

Signature: _____
Printed Name: _____ Title: _____

If Florida General Partnership or Limited Liability Partnership:

Signature of one General Partner.

If Florida Limited Partnership or Limited Liability Limited Partnership:

Signatures of ALL General Partners.

If Florida Limited Liability Company:

Signature of a Member or Authorized Representative.

All others:

Signature of an authorized person.

Fees:

Certificate of Conversion:	\$35.00
Fees for Florida Articles of Incorporation:	\$70.00
Certified Copy:	\$8.75 (Optional)
Certificate of Status:	\$8.75 (Optional)

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SECRETARY OF STATE
TALLAHASSEE, FLORIDA

ARTICLES OF INCORPORATION

In compliance with Chapter 607 and/or Chapter 621, F.S. (Profit)

ARTICLE I NAME

The name of the corporation shall be: Global Financial Private Capital, Inc.

ARTICLE II PRINCIPAL OFFICE

Principal street address
501 N. Cattlemen Road, Suite 106
Sarasota, FL 34232

Mailing address, if different is:
1655 Grant Street, 10th Floor
Concord, CA 94520

ARTICLE III PURPOSE

The purpose for which the corporation is organized is: _____
The nature of the business or purposes to be conducted or promoted by the Corporation is to engage in any lawful act or activity for which corporations may be organized under the Florida Business Corporations Act.

ARTICLE IV SHARES

The number of shares of stock is: 100

ARTICLE V INITIAL OFFICERS AND/OR DIRECTORS

Name and Title: Charles G. Goldman, Director

Address: 1655 Grant Street, 10th Floor
Concord, CA 94520

Name and Title: Gary G. Zyla, Director

Address: 1655 Grant Street, 10th Floor
Concord, CA 94520

Name and Title: Charles G. Goldman, CEO

Address: 1655 Grant Street, 10th Floor
Concord, CA 94520

Name and Title: Gary G. Zyla, EVP & Treasurer

Address: 1655 Grant Street, 10th Floor
Concord, CA 94520

Name and Title: Michael Abelson, EVP

Address: 1655 Grant Street, 10th Floor
Concord, CA 94520

Name and Title: Ted F. Angus, EVP

Address: 1655 Grant Street, 10th Floor
Concord, CA 94520

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MAY 19 11 41 AM '16
CLERK OF SUPERIOR COURT
CONCORD, CALIFORNIA

Name and Title: Tom McCarthy IV, SVP

Address: 1655 Grant Street, 10th Floor

Concord, CA 94520

Name and Title: Raygar Khailany, SVP

Address: 1655 Grant Street, 10th Floor

Concord, CA 94520

ARTICLE VI REGISTERED AGENT

The name and Florida street address (P.O. Box NOT acceptable) of the registered agent is:

Name: C T Corporation System

Address: 1200 South Pine Island Road

Plantation, FL 33324

ARTICLE VII INCORPORATOR

The name and address of the Incorporator is:

Name: Naomi J. McKean

Address: 1655 Grant Street, 10th Floor,

Concord, CA 94520

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19 JUL -9 PM 4:18
DEPARTMENT OF STATE
TALLAHASSEE, FLORIDA

ARTICLE VIII EFFECTIVE DATE:

07/12/2019

Effective date, if other than the date of filing: _____ (OPTIONAL)

(If an effective date is listed, the date must be specific and cannot be more than five days prior or 90 days after the filing.)

Note: If the date inserted in this block does not meet the applicable statutory filing requirements, this date will not be listed as the document's effective date on the Department of State's records.

Having been named as registered agent to accept service of process for the above stated corporation at the place designated in this certificate, I am familiar with and accept the appointment as registered agent and agree to act in this capacity

C T Corporation System

By:


Required Signature/Registered Agent

07/08/2019

Date

I submit this document and affirm that the facts stated herein are true. I am aware that the false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.


Required Signature/Incorporator

Naomi J. McKean, Secretary

07/08/2019

Date

Global Financial Private Capital, Inc.
Directors & Officers

Director's Name	Title
Charles G. Goldman	Director
Gary G. Zyla	Director

Officer's Name	Title
Charles G. Goldman	Chief Executive Officer
Gary G. Zyla	Executive Vice President & Treasurer
Michael Abelson	Executive Vice President
Ted F. Angus	Executive Vice President
Tom McCarthy IV	Senior Vice President
Raygar Khailany	Senior Vice President
Naomi J. McKean	Secretary
Lewis (Buck) Dellarco	Senior Vice President, Chief Compliance Officer

FILED
19 JUL -9 PM 4: 18
SECRETARY OF STATE
TALLAHASSEE, FLORIDA