

# United States of America

## United States Patent and Trademark Office



**Reg. No. 6,974,770**

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**Int. Cl.: 35, 36**

**Service Mark**

**Principal Register**

Equiniti U.S. Holdings, Inc. (DELAWARE CORPORATION)  
Suite 101  
1110 Centre Pointe Curve  
Mendota Heights, MINNESOTA 55120

CLASS 35: Business process outsourcing services in the field business management; business administration; business management; business management and business administration services in the field of share registration, dealing, acquisition and disposal; business management and business administration of financial affairs; maintenance of statutory registers, namely, computerized register management; management, maintenance and updating of shareholder records, namely, shareholder record keeping services; attending upon dividend payments and capital reconstruction for others, namely, financial records management; computer database management; management, maintenance and updating of computer databases, namely, management and compilation of computerized databases; reporting and data processing services, namely, statistical analysis and reporting services for business purposes; data processing, data evaluation, namely, evaluations relating to commercial matters; computerized file management; share registry bureau and support services in the nature of share registration services, namely, registering the ownership of stocks and bonds; data collection services, namely, services consisting of the registration, collection, transcription, compilation and systemization of written communications and data; administration of treasury shares, namely, financial statement preparation and analysis for businesses; customer service, namely, responding to customers inquiries for others in the field of financial and business management; operating call centres, namely, operation of telephone call centres for others; customer enquiries and response handling, namely, responding to customer inquiries for others in the fields of finance and business management via telephone and e-mail for others; operating telephone hotlines that provide information and counselling in the fields of employment and financial affairs to employees, retirees and shareholders, namely, management of telephone call centres for others; personnel-related services, namely, personnel management; conducting business and market research surveys; business appraisal; business consultancy services; business



Acting Director of the United States Patent and Trademark Office



information, enquiry, research and investigation services; business organisation consulting; accounting and book-keeping services; economic forecasting and analysis; personnel management, consultancy and recruitment services; rental of office machinery; arranging and conducting of exhibitions, for business and advertising purposes; organisation and preparation of payroll, namely, administration of business payroll for others; publicity and sales promotion services; telephone answering services; consulting services relating to personnel, employee compensation and benefits, to corporate organization, to strategic planning, to marketing, to share dealing, and to business administration and management, namely, business consultation; services relating to investor relations, namely, business appraisal consultancy services; business management, advisory, information and consultation services in the field of corporate social responsibility; management and administration of Annual General Meetings and Extraordinary General Meetings, namely, arranging and conducting business conferences; advisory, information and consultancy services relating to the aforesaid services, namely, business consultation; tax assessment; preparation and completion of income tax returns, namely, tax preparation; provision of information relating to tax; tax consulting and planning services; business consulting and advisory services; provision of statements of account, namely, account auditing; registration, administration and secretarial services for companies, namely, company secretarial services; document reproduction services; providing online information in the field of business management; providing an interactive website featuring information in the field of business management; providing an online computer database in the field of business management; Outsourcing services, namely, business process outsourcing services in the field of financial management

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CLASS 36: Management and analysis of shareholders and share dealing to retail and registration service customers, namely, share price and holding information services; share dealing services to retail, registration service and execution only customers, namely, brokerage of shares and other securities; investor relations services, namely, administration information relating to stock holdings; employee share scheme planning, management and administration services, namely, managing employee portfolios comprising securities; executive share scheme planning, management and administration, namely, managing employee portfolios comprising securities; share incentive scheme planning, management and administration, namely, managing employee portfolios comprising securities; planning, management and administration of employee benefit schemes, namely, managing employee portfolios comprising securities; dividend and interest management, banking, payment, distribution, and planning services, namely, financial management; debt recovery and collection agencies; corporate and personal trust administration, namely, financial trust operations; unit trust and Open Ended Investment Companies (OEICs) administration in the nature of annuity services, namely, account and investment administration; share scheme administration, namely, financial administration of employee retirement plans; pension administration and advice, namely, financial administration of pension funds; share dealing services, namely, stock brokerage; share dealing, administration and brokerage services to retail, registration service and execution only customers, namely, investment brokerage; administration, analysis, and reporting of shares and shareholdings to retail, registration service and execution only customers, namely, stock exchange information services; employee share schemes, namely, managing employee portfolios comprising securities and administration information relating to stock holdings; executive share plans, namely, managing employee portfolios comprising securities; share incentive schemes, namely, managing employee portfolios comprising securities; trustee services; benefit schemes, namely, administration of employee flexible benefit plans concerning [ insurance ] \* insurance certificates \* and finance; provision of information relating to financial accounts; securities brokerage services to retail and registration service customers; investment portfolio valuations to retail customers, namely, financial valuation of personal property; valuation of securities, stocks and shares to retail, registration service and execution only customers, namely, fiscal valuations and

assessments; provision of information relating to shares, share prices and market conditions to retail, registration service and execution only customers, namely, providing stock market information; financial administration of pension and compensation schemes and consultancy services relating thereto, namely, administration of employee pension plans; advice, information and management of financial options and benefit schemes, namely, processing, administering and managing employee benefit plans concerning [ insurance ] \* insurance certificates \* and finance; provision, advice and information in relation to flexible benefit schemes, namely, financial consultation; pension scheme administration services, namely, financial administration of employee pension plans; pension scheme documentation services, namely, administration of employee welfare benefit plans concerning [ insurance ] \* insurance certificates \* and finance; consultancy services relating to retirement benefits, namely, financial consulting; administration of share schemes, namely, financial administration of retirement plans; financial services provided to employers, namely, issuance of paycheques to employees, transfers of funds, and deposits to accounts with respect to payroll and payroll disbursements, payroll taxes, payroll deductions, unemployment compensation, wage attachments and benefits, namely, banking services; payroll tax debiting and crediting services; tax payment processing services, namely, processing federal, state and local payroll withholding taxes and remittance of taxes to the appropriate taxing authorities; benefits administration, enrollment and eligibility services for employers and employees relating to employee health, [ insurance, ] welfare, transportation, educational assistance and retirement benefits, namely, administration of employee benefit plans concerning [ insurance ] \* insurance certificates \* and finance; [ insurance and life assurance services, namely, life insurance underwriting; insurance brokerage; ] actuarial services; financial analysis and consultation; monetary strategy consultation and research; banking services; administration of financial affairs, namely, financial due diligence; charitable fund raising services; administration of mutual funds, namely, mutual fund distribution; mutual funds services, namely, mutual fund investment; cash management services; credit card factoring services; invoice discounting services, namely, loans and discount of bills; cash dispensing services, namely, automated teller machine services; provision of security for loans, namely, guarantee assurance underwriting; registration services for credit cards, charge cards, cash cards, cheque guarantee cards, debit cards, payment cards, financial cards and purchase cards; card and cash replacement services, namely, cash replacement rendered by credit card; rental, hire and leasing of equipment for processing financial cards and data relating thereto, namely, rental of cash dispensers or automated-teller machines; processing of data relating to card transactions and other payment transactions, namely, credit card transaction processing services; provision of finance, money exchange and money transmission services, namely, electronic transfer of money; currency services, namely, currency exchange and advice; bureau de change services, namely, currency transfer services; foreign exchange information services; merchant banking and investment banking services; equity capital investment and savings account services; brokerage of bonds, securities, commodities and futures for retail and registration services customers; market making services, namely, commodity brokerage; securities valuation services to retail customers, namely, stock exchange price quotations; share underwriting services, namely, guarantee assurance underwriting; securities lending services, namely, commercial lending services; dividend collection services, namely, collection of debts; payment collection services, namely, collection agencies; [ insurance underwriting services for all types of insurance; ] unit trust services, namely, estate trust management; investment trust services, namely, trust management accounts; securities brokerage; personal equity plan services, namely, financial portfolio management services; tax services, namely, fiduciary tax payment processing services; financial planning and investment advisory services; financial research services; pension fund services, namely, administration of employee pension plans; provision of financial information but not including provision of business and financial information relating to companies and their financial performance; electronic stock transfer services, namely, investment by electronic means; safe-keeping, administration and valuation of investments to retail, registration service and execution only customers, namely, investment management; collateral agency services, namely,

mortgaging of securities for others; securities custody services in the nature of financial investment services, namely, administering the issuance, underwriting and distribution of securities; safe custody services, namely, safe deposit box services; financial information services relating to investment portfolios, indicative share prices, share balance movements, share dealing, employee share schemes, ISAs Individual Savings Accounts, and corporate- sponsored nominee shareholding services to retail and registration service customers; financial advice on and managing companies' capital structures, flotations, mergers, takeovers, demergers, rights issues, capitalisation issues and Initial Public Offerings (IPOs); deposit-taking and storage of valuables, namely, safety deposit box services; credit consultation; current accounts, savings and investment accounts, bank card, credit card, debit card, charge card and cash card services, namely, checking account, savings account, credit and cash card and debit card services in the nature of electronic transaction processing and issuance of credit, cash, and debit cards; issuance of electronic purses and chipcards for electronic payment; and provision of banking services via the telephone, the Internet and interactive television, namely, issuing credit cards; money transfer; issue of letters of credit and financial guarantees; foreign exchange transactions; issue of travellers cheques and bank cheques; futures, forwards, derivatives and option markets transactions in the nature of financial services, namely, investment fund transfer and transaction services; electronic banking and electronic funds transfer services; money transfer services; electronic money transfer services; financial leasing, namely, lease securitization; global custody services, namely, safe deposit services; stockbroking and share dealing services, namely, stock brokerage; financial planning, advice, research and information services; personal equity plans, namely, providing a web site featuring personal financial information and financial advice; tax and estate planning; pensions services, namely, financial administration of employee pension plans; fiduciary representatives and trustee services; investment funds and unit trust services, namely, investment of funds for others; corporate finance, namely, consultation in the field of capital structure; capital markets dealings, namely, capital investment services; export and project finance, namely, financing of industrial activities; provision of development capital and equity finance, namely, project financing; lease-purchase financing; factoring and invoice discounting, namely, financing of loans and discount of bills; [ insurance agencies; life insurance underwriting; ] services relating to investor relations, namely, financial consultancy services; providing online information in the field of financial management; providing an interactive website featuring information in the field of financial management; providing an online computer database in the field of financial management

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The color(s) red and white is/are claimed as a feature of the mark.

The mark consists of the letters "EQ" written in white within a red circle.

SER. NO. 88-348,469, FILED 03-20-2019

## **REQUIREMENTS TO MAINTAIN YOUR FEDERAL TRADEMARK REGISTRATION**

**WARNING: YOUR REGISTRATION WILL BE CANCELLED IF YOU DO NOT FILE THE DOCUMENTS BELOW DURING THE SPECIFIED TIME PERIODS.**

### **Requirements in the First Ten Years\***

#### **What and When to File:**

- **First Filing Deadline:** You must file a Declaration of Use (or Excusable Nonuse) between the 5th and 6th years after the registration date. See 15 U.S.C. §§1058, 1141k. If the declaration is accepted, the registration will continue in force for the remainder of the ten-year period, calculated from the registration date, unless cancelled by an order of the Commissioner for Trademarks or a federal court.
- **Second Filing Deadline:** You must file a Declaration of Use (or Excusable Nonuse) and an Application for Renewal between the 9th and 10th years after the registration date.\* See 15 U.S.C. §1059.

### **Requirements in Successive Ten-Year Periods\***

#### **What and When to File:**

- You must file a Declaration of Use (or Excusable Nonuse) and an Application for Renewal between every 9th and 10th-year period, calculated from the registration date.\*

### **Grace Period Filings\***

The above documents will be accepted as timely if filed within six months after the deadlines listed above with the payment of an additional fee.

**\*ATTENTION MADRID PROTOCOL REGISTRANTS:** The holder of an international registration with an extension of protection to the United States under the Madrid Protocol must timely file the Declarations of Use (or Excusable Nonuse) referenced above directly with the United States Patent and Trademark Office (USPTO). The time periods for filing are based on the U.S. registration date (not the international registration date). The deadlines and grace periods for the Declarations of Use (or Excusable Nonuse) are identical to those for nationally issued registrations. See 15 U.S.C. §§1058, 1141k. However, owners of international registrations do not file renewal applications at the USPTO. Instead, the holder must file a renewal of the underlying international registration at the International Bureau of the World Intellectual Property Organization, under Article 7 of the Madrid Protocol, before the expiration of each ten-year term of protection, calculated from the date of the international registration. See 15 U.S.C. §1141j. For more information and renewal forms for the international registration, see <http://www.wipo.int/madrid/en/>.

**NOTE:** Fees and requirements for maintaining registrations are subject to change. Please check the USPTO website for further information. With the exception of renewal applications for registered extensions of protection, you can file the registration maintenance documents referenced above online at <http://www.uspto.gov>.

**NOTE:** A courtesy e-mail reminder of USPTO maintenance filing deadlines will be sent to trademark owners/holders who authorize e-mail communication and maintain a current e-mail address with the USPTO. To ensure that e-mail is authorized and your address is current, please use the Trademark Electronic Application System (TEAS) Correspondence Address and Change of Owner Address Forms available at <http://www.uspto.gov>.