

United States of America

United States Patent and Trademark Office

SustainEx

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Service Mark

Principal Register

Schroders Plc (UNITED KINGDOM public limited company (plc))
1 London Wall Place
London, UNITED KINGDOM EC2Y5AU

CLASS 35: Business research services; business research services in the field of sustainable investing; business risk assessment services; market research and market analysis services; market research and market analysis services in the field of sustainable investing; analysis of market research data and statistics; public opinion polling; economic analysis for business purposes; business research and investigations relating to investments and their impact from an environmental, social and corporate governance perspective; providing information on the impact of investments from an environmental, social and corporate governance perspective via the internet; commercial rating of consumers services of others, namely, the environmental, social and economic qualities and impact of financial investments; commercial rating of consumers services of others, namely, industry and business as regards their environmental, social and economic qualities and impact; rating the environmental qualities and impact of consumer products of others for the purpose of making purchasing and investment decisions; business consultancy services in the field of financial management, financial analysis, financial information, investment management and investment banking for business purposes; business advice and information provision services in the field of financial management, financial analysis, financial information, investment management and investment banking for business purposes; business consulting services that provide transformational strategies to companies and individuals wishing to move towards sustainability and socially responsible business practices; business consulting in the field of environmental management; advising businesses and individuals on issues of environmental impact, social impact and corporate governance for business purposes; advising businesses and individuals being business consulting on issues of environmental impact, conservation, preservation and protection, and economic analysis for business purposes; business intermediary services relating to the matching of potential investors with businesses; matching consumers and investors interested in corporate social responsibility with companies interested in making socially responsible business decisions, namely, business intermediary services; matching consumers and investors interested in corporate social responsibility with companies interested in making socially responsible investments, namely, business intermediary services; economic research services; providing information and consulting services in the area of sustainable business solutions

CLASS 36: Financial asset management services; financial analysis services; financial analysis services relating to investments; financial analysis services for the purpose of identifying financial investment opportunities; financial data analysis; financial risk

Coke Moya-Snead

Acting Director of the United States Patent and Trademark Office



assessment services; providing information in the field of financial appraisals via a website; financial evaluations relating to securities and other financial instruments; financial profiling in relation to investments, namely providing information relating to financial investments; financial modelling, namely providing information in relation to financial investments and financial investment opportunities; research and analysis in the field of financial and investment services; preparation of financial analyses relating to investments and investment opportunities for business; providing financial market information services via a website; providing information relating to investments; financial investment research; financial research and assessment services, namely, assessing the risk profile of investors towards financial investment opportunities; financial asset management services; financial services, namely, investment management services; financial services, investment services and asset management services, namely, financial advisory services, wealth management services, fund transfer and transaction services, management and brokerage in the fields of stocks, bonds, options, commodities, futures and other securities, and the investment of funds of others, in the field of socially and environmentally beneficial investing; financial services, investment services and asset management services, namely, financial advisory services, wealth management services, fund transfer and transaction services, management and brokerage in the fields of stocks, bonds, options, commodities, futures and other securities, and the investment of funds of others, all focusing on the impact of investments from an environmental, social and corporate governance perspective; real estate investment management services; private equity fund investment services; management of private equity funds; mutual fund investment, analysis, and distribution services; financial services, namely, investment of funds in the field of funds of hedge funds; unit trust services, namely, financial trust operations; real estate investment trust services; banking; private banking services; life assurance underwriting services; providing financial investment advice; asset and investment administration services, namely, financial asset and investment management; financial asset management services; financial information services; financial services being securities trading in the money and foreign exchange markets; financial investment brokerage services; trustee services; financial services relating to investing in commodities and agricultural funds, namely, financial investment services; financial management involving the issuing of shares, fund awards and tokens of value in relation to bonus and loyalty schemes; provision of information in the field of financial management, financial analysis, financial information, investment management and investment banking; financial research; financial consulting

THE MARK CONSISTS OF STANDARD CHARACTERS WITHOUT CLAIM TO ANY PARTICULAR FONT STYLE, SIZE OR COLOR

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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>.