

# PATENT ASSIGNMENT

Electronic Version v1.1  
 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	CHANGE OF NAME
CONVEYING PARTY DATA	
Name	Execution Date
American Express Financial Advisors Inc.	07/14/2005
RECEIVING PARTY DATA	
Name:	Ameriprise Financial Services, Inc.
Street Address:	70100 Ameriprise Financial Center
City:	Minneapolis
State/Country:	MINNESOTA
Postal Code:	55474
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	11673266
CORRESPONDENCE DATA	
Fax Number:	(602)382-6070
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	602-382-6228
Email:	hsobelman@swlaw.com
Correspondent Name:	Snell & Wilmer L.L.P.
Address Line 1:	1 AZ Ctr, 400 E Van Buren St
Address Line 2:	Howard I. Sobelman, Esq.
Address Line 4:	Phoenix, ARIZONA 85004
ATTORNEY DOCKET NUMBER:	49335.1017
NAME OF SUBMITTER:	Howard I. Sobelman
Total Attachments: 6 source=493351017nmchg#page1.tif source=493351017nmchg#page2.tif source=493351017nmchg#page3.tif source=493351017nmchg#page4.tif	

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**PATENT**  
**REEL: 020687 FRAME: 0258**

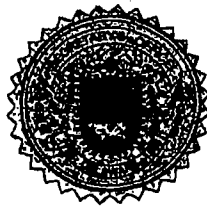
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# Delaware

PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "AMERICAN EXPRESS FINANCIAL ADVISORS INC.", CHANGING ITS NAME FROM "AMERICAN EXPRESS FINANCIAL ADVISORS INC." TO "AMERIPRISE FINANCIAL SERVICES, INC.", FILED IN THIS OFFICE ON THE FIRST DAY OF AUGUST, A.D. 2005, AT 9:36 O'CLOCK A.M.



0772870 8100  
050661425

*Harriet Smith Windsor*  
Harriet Smith Windsor, Secretary of State  
AUTHENTICATION: 4083896

DATE: 08-10-05

PATENT  
REEL: 020687 FRAME: 0260

**AMENDED AND RESTATED  
CERTIFICATE OF INCORPORATION  
OF  
AMERICAN EXPRESS FINANCIAL ADVISORS INC.**

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American Express Financial Advisors Inc., a corporation organized and existing under the General Corporation Law of the State of Delaware (the "Delaware Code"), does hereby certify as follows:

1. The name of the corporation is American Express Financial Advisors Inc. (hereinafter referred to as the "Corporation");
2. The Corporation was originally incorporated under the name IDS Marketing Corporation. The Corporation changed its name to IDS Financial Services Inc. on December 15, 1986. The Corporation changed its name to American Express Financial Advisors Inc. on December 5, 1994. The date of the filing of the Corporation's original certificate of incorporation with the Secretary of State of the State of Delaware was June 14, 1971; and
3. This Amended and Restated Certificate of Incorporation was duly adopted by the Board of Directors of the Corporation and adopted by the stockholder of the Corporation holding a majority of the outstanding common stock of the Corporation in accordance with Sections 141(f), 228, 242 and 245 of the Delaware Code.

State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 09:36 AM 08/01/2005  
FILED 09:36 AM 08/01/2005  
SRV 050629609 - 0772870 FILE

Upon the filing of this Amended and Restated Certificate of Incorporation with the Secretary of State of the State of Delaware, the Corporation's Certificate of Incorporation is hereby amended, restated and integrated to read in its entirety as follows:

FIRST. The name of the Corporation is Ameriprise Financial Services, Inc.

SECOND. The address of its registered office in the State of Delaware is 1209 Orange Street in the City of Wilmington, County of New Castle in the State of Delaware. The name of its registered agent at such address is The Corporation Trust Company.

THIRD. The nature of the business or purposes to be conducted or promoted is:

To engage in any lawful act or activity for which corporations may be organized under the Delaware Code, including, but not in limitation of the foregoing, engaging in the business of an insurance and annuity agent or broker.

FOURTH. The total number of shares of stock which the Corporation shall have authority to issue is ten thousand (10,000) and the par value of each of such shares is Ten Dollars (\$10.00) amounting in the aggregate to One Hundred Thousand Dollars (\$100,000).

FIFTH. The corporation is to have perpetual existence.

SIXTH. In furtherance and not in limitation of the powers conferred by statute, the board of directors is expressly authorized:

To make, alter or repeal the by-laws of the Corporation.

To authorize and cause to be executed mortgages and liens upon the real and personal property of the Corporation.

To set apart out of any of the funds of the Corporation available for dividends, a reserve or reserves for any proper purpose and to abolish any such reserve in the manner in which it was created.

SEVENTH. Meetings of stockholders may be held within or without the State of Delaware, as the by-laws may provide. The books of the Corporation may be kept (subject to any provision contained in the statutes) outside the State of Delaware at such place or places as may designated from time to time by the board of directors or in the by-laws of the corporation. Elections of directors shall be by written ballot unless the by-laws of the corporation shall so provide.

EIGHTH. The corporation reserves the right to amend, alter, change or repeal any provision contained in this amended and restated certificate of incorporation, in the manner now or hereafter prescribed by statute, and all rights conferred upon stockholders herein are granted subject to this reservation.

NINTH. No director shall be personally liable to the Corporation or its stockholder for monetary damages for breach of duty as a director, except (i) for any breach of the director's duty of loyalty to the Corporation or its stockholder; (ii) for acts or omissions not in good faith or that involve intentional misconduct or a knowing violation of law; (iii) under Section 174 of the Delaware Code; (iv) for any transaction from which the director derived an improper

personal benefit; or (v) for any act or omission occurring prior to the adoption of this Article Ninth.

IN WITNESS WHEREOF, I have hereunto set my hand this 14<sup>th</sup> day of  
July, 2006.

By: 

Name: James Cracchiolo  
Title: President and CEO