

ESTTA Tracking number: **ESTTA725510**

Filing date: **02/08/2016**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE TRADEMARK TRIAL AND APPEAL BOARD

Notice of Opposition

Notice is hereby given that the following party opposes registration of the indicated application.

Opposer Information

Name	CFA Institute
Granted to Date of previous extension	02/07/2016
Address	915 East High Street Charlottesville, VA 22902 UNITED STATES

Attorney information	Ann K. Ford DLA Piper LLP (US) 500 Eighth Street, NW Washington, DC 20004 UNITED STATES ann.ford@dlapiper.com, john.nading@dlapiper.com, ashley.joyce@dlapiper.com, alberto.zacapa@dlapiper.com, dctrademarks@dlapiper.com Phone:202.799.4000
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Applicant Information

Application No	86553367	Publication date	08/11/2015
Opposition Filing Date	02/08/2016	Opposition Period Ends	02/07/2016
Applicant	Commercial Finance Association Suite 1801 New York, NY 10001 UNITED STATES		

Goods/Services Affected by Opposition

Class 036. First Use: 0 First Use In Commerce: 0 All goods and services in the class are opposed, namely: Providing an on-line searchable database featuring financial information about commercial lending services and factoring agencies as part of association services and for the benefit of the association's commercial lending members
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Grounds for Opposition

Priority and likelihood of confusion	Trademark Act section 2(d)
Dilution by blurring	Trademark Act section 43(c)

Marks Cited by Opposer as Basis for Opposition

U.S. Registration No.	935504	Application Date	08/14/1970
Registration Date	06/06/1972	Foreign Priority	NONE

		Date	
Word Mark	C.F.A.		
Design Mark			
Description of Mark	NONE		
Goods/Services	Class 042. First use: First Use: 1963/09/15 First Use In Commerce: 1963/09/15 ASSOCIATION SERVICES-NAMELY, THE PROMOTION OF INTEREST AND PROFESSIONAL STANDARDS IN THE FIELD OF FINANCIAL ANALYSTS		

U.S. Registration No.	2493899	Application Date	08/30/1999
Registration Date	10/02/2001	Foreign Priority Date	NONE
Word Mark	CFA		
Design Mark	CFA		
Description of Mark	NONE		
Goods/Services	Class 041. First use: First Use: 1962/12/31 First Use In Commerce: 1962/12/31 EDUCATIONAL SERVICES, NAMELY ARRANGING, CONDUCTING AND PROVIDING COURSES OF INSTRUCTION, WORKSHOPS, SEMINARS, AND CONFERENCES IN THE FIELD OF FINANCIAL ANALYSIS AND DISTRIBUTING COURSE MATERIALS IN CONNECTION THEREWITH		

U.S. Registration No.	2495459	Application Date	08/30/1999
Registration Date	10/09/2001	Foreign Priority Date	NONE
Word Mark	CFA		
Design Mark	CFA		
Description of Mark	NONE		
Goods/Services	Class 016. First use: First Use: 1965/12/31 First Use In Commerce: 1965/12/31 Printed Publications in the Field of Financial Analysis and in Support of the Interests of Financial Analysts		

U.S. Registration No.	2580663	Application Date	08/30/1999
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Registration Date	06/18/2002	Foreign Priority Date	NONE
Word Mark	CFA THE INSTITUTE OF CHARTERED FINANCIAL ANALYSTS		
Design Mark			
Description of Mark	NONE		
Goods/Services	Class 016. First use: First Use: 1971/06/30 First Use In Commerce: 1971/06/30 Printed Publications in the Field of Financial Analysis and in Support of the Interests of Financial Analysts		
U.S. Registration No.	2661114	Application Date	08/30/1999
Registration Date	12/17/2002	Foreign Priority Date	NONE
Word Mark	CFA CHARTERED FINANCIAL ANALYST		

Design Mark			
Description of Mark	NONE		
Goods/Services	Class B. First use: First Use: 1999/05/01 First Use In Commerce: 1999/05/01 FINANCIAL ANALYSIS SERVICES		

U.S. Registration No.	3202615	Application Date	04/30/2004
Registration Date	01/23/2007	Foreign Priority Date	NONE
Word Mark	CFA INSTITUTE		
Design Mark			
Description of Mark	NONE		
Goods/Services	Class 016. First use: First Use: 2004/06/01 First Use In Commerce: 2004/06/01 Printed publications, namely, newsletters, brochures, books, digest books, and monographs in the fields of investment management and financial analysis and		

	<p>in support of the interests of investment professionals and financial analysts</p> <p>Class 035. First use: First Use: 2004/06/01 First Use In Commerce: 2004/06/01 Association services, namely, the promotion of professional standards and practices and providing career information in the fields of investment management and financial analysis; promoting the interests of investment professionals and financial analysts</p> <p>Class 041. First use: First Use: 2004/06/01 First Use In Commerce: 2004/06/01 Educational services, namely, arranging, conducting, and providing courses of instruction, examinations, workshops, seminars and conferences in the fields of investment management and financial analysis and distributing course materials in connection therewith</p>
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U.S. Registration No.	4296372	Application Date	11/22/2011
Registration Date	02/26/2013	Foreign Priority Date	NONE
Word Mark	CFA INSTITUTE		
Design Mark			
Description of Mark	The mark consists of a stylized circular design consisting of seven set of bars that have three lines of different lengths in each bar; to the right of the design are the words "CFA INSTITUTE".		
Goods/Services	<p>Class 016. First use: First Use: 2012/05/18 First Use In Commerce: 2012/05/18 Printed publications, namely, newsletters, brochures, books, digest books, and monographs in the fields of investment management and financial analysis and in support of the interests of investment professionals and financial analysts</p> <p>Class 035. First use: First Use: 2012/05/07 First Use In Commerce: 2012/05/07 Association services, namely, the promotion of professional standards and practices and providing career information in the fields of investment management and financial analysis; promoting the interests of investment professionals and financial analysts</p> <p>Class 041. First use: First Use: 2012/05/07 First Use In Commerce: 2012/05/07 Educational services, namely, arranging, conducting, and providing courses of instruction, examinations, workshops, seminars and conferences in the fields of investment management and financial analysis and distributing course materials in connection therewith</p>		

U.S. Registration No.	4389314	Application Date	06/13/2012
Registration Date	08/20/2013	Foreign Priority Date	NONE
Word Mark	CFA INSTITUTE		

Design Mark	
Description of Mark	NONE
Goods/Services	Class 009. First use: First Use: 2004/06/00 First Use In Commerce: 2004/06/00 Downloadable publications, in the nature of newsletters, magazines, books, digest books, and monographs and downloadable video and audio content, all in the fields of investment management and financial analysis

U.S. Registration No.	4768863	Application Date	09/24/2010
Registration Date	07/07/2015	Foreign Priority Date	NONE

Word Mark	CFA INSTITUTE
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Design Mark	
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Description of Mark	NONE
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Goods/Services	Class 018. First use: First Use: 2012/05/07 First Use In Commerce: 2012/05/07 Carry all bags, tote bags and leather goods, namely, briefcases, wallets and handbags Class 025. First use: First Use: 2012/05/07 First Use In Commerce: 2012/05/07 Apparel, namely, shirts, jackets and headwear Class 035. First use: First Use: 2012/05/07 First Use In Commerce: 2012/05/07 On-line retail store services featuring general consumer merchandise
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Attachments	75788563#TMSN.png(bytes) 75788219#TMSN.png(bytes) 75788223#TMSN.png(bytes) 75788557#TMSN.png(bytes) 78411289#TMSN.png(bytes) 85478638#TMSN.png(bytes) 85651366#TMSN.png(bytes) 85137642#TMSN.png(bytes)
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	Notice of Opposition to CFA FUNDING CONNECTION Serial No. 86553367.pdf(2997750 bytes)
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Certificate of Service

The undersigned hereby certifies that a copy of this paper has been served upon all parties, at their address record by First Class Mail on this date.

Signature	/Ann K. Ford/
Name	Ann K. Ford
Date	02/08/2016

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE TRADEMARK TRIAL AND APPEAL BOARD**

In the matter of Service Mark
Application Serial No. 86553367
Mark: CFA FUNDING CONNECTION
Filing Date: March 4, 2015
Published for Opposition: August 11, 2015

CFA INSTITUTE,)	
)	
Opposer,)	
)	
v.)	Opposition No. _____
)	
COMMERCIAL FINANCE ASSOCIATION,)	
)	
Applicant.)	

NOTICE OF OPPOSITION

Opposer CFA Institute (hereinafter “Opposer” or “CFA Institute”) believes that it is or will be damaged by the registration of United States Service Mark Application Serial No. 86553367, as filed with the United States Patent and Trademark Office (hereinafter “USPTO”), on March 4, 2015, by the Commercial Finance Association (hereinafter “Applicant”), for the service mark CFA FUNDING CONNECTION in connection with “providing an on-line searchable database featuring financial information about commercial lending services and factoring agencies as part of association services and for the benefit of the association’s commercial lending members” in International Class 36 (hereinafter “Applicant’s Services”). CFA Institute hereby opposes said application under the provisions of Section 13 of the Trademark Act of 1946 (hereinafter “Lanham Act”), 15 U.S.C. § 1063.

As grounds for the Opposition, CFA Institute alleges the following:

CFA INSTITUTE’S VALUABLE RIGHTS

(1) CFA Institute is a Virginia non-stock corporation with a principal place of business at 915 East High Street, Charlottesville, Virginia 22902.

(2) CFA Institute is an internationally renowned global, not-for-profit association of investment professionals with over 125,000 members in 145 countries worldwide and 144 local member societies in sixty-nine countries. In connection therewith, CFA Institute uses in interstate commerce and owns the famous and distinctive trademarks CFA, CFA INSTITUTE, and CHARTERED FINANCIAL ANALYST, and variations thereof (the “CFA Trademarks”), including several United States trademark registrations. Since as early as 1962, CFA Institute and its predecessors-in-interest have continuously used the CFA Trademarks in interstate commerce.

(3) CFA Institute’s predecessor-in-interest coined the designation “Chartered Financial Analyst” or “CFA” and began using it to identify its certification program to its members and those belonging to its sister organization. CFA Institute has all the rights, benefits, and interests of its predecessors in connection with and arising out of the CFA Trademarks and associated certification program, including all intellectual property rights therein.

(4) CFA Institute is the world’s largest and best-known association of investment professionals, and owns the famous and distinctive trademark “CFA,” including the following U.S. trademark registrations:

Reg. No.	Mark	Goods and/or Services	Claimed Date of First Use	Registration Date
935504	C.F.A.	Association services, namely, the promotion of interest and professional standards in the field of financial analysts.	September 15, 1963	June 6, 1972

Reg. No.	Mark	Goods and/or Services	Claimed Date of First Use	Registration Date
2493899	CFA	Educational services, namely, arranging, conducting, and providing courses of instruction, workshops, seminars, and conferences in the field of financial analysis and distributing course materials in connection therewith.	December 31, 1962	October 2, 2001
2495459	CFA	Printed publications in the field of financial analysis and in support of the interest of financial analysts.	December 31, 1965	October 9, 2001
2580663	CFA THE INSTITUTE OF CHARTERED FINANCIAL ANALYSTS & Design	Publications in the field of financial analysis and in support of the interests of financial analysts.	June 30, 1971	June 18, 2002
2661114	CFA CHARTERED FINANCIAL ANALYST & Design	Financial analysis services.	May 1, 1999	December 17, 2002
3202615	CFA INSTITUTE	Printed publications, namely, newsletters, brochures, books, digest books, and monographs in the fields of investment management and financial analysis and in support of the interests of investment professionals and financial analysts. Association services, namely, the promotion of professional standards and practices and providing career information in the fields of investment management and financial analysis; promoting the	June 1, 2004	January 23, 2007

Reg. No.	Mark	Goods and/or Services	Claimed Date of First Use	Registration Date
		<p>interests of investment professionals and financial analysts.</p> <p>Educational services, namely, arranging, conducting, and providing courses of instruction, examinations, workshops, seminars and conferences in the fields of investment management and financial analysis and distributing course materials in connection therewith.</p>		
4296372	CFA INSTITUTE & Design	<p>Printed publications, namely, newsletters, brochures, books, digest books, and monographs in the fields of investment management and financial analysis and in support of the interests of investment professionals and financial analysts.</p> <p>Association services, namely, the promotion of professional standards and practices and providing career information in the fields of investment management and financial analysis; promoting the interests of investment professionals and financial analysts.</p> <p>Educational services, namely, arranging, conducting, and providing courses of instruction, examinations, workshops, seminars and conferences in</p>	May 7, 2012 May 18, 2012	February 26, 2013

Reg. No.	Mark	Goods and/or Services	Claimed Date of First Use	Registration Date
		the fields of investment management and financial analysis and distributing course materials in connection therewith.		
4389314	CFA INSTITUTE	Downloadable publications, in the nature of newsletters, magazines, books, digest books, and monographs and downloadable video and audio content, all in the fields of investment management and financial analysis.	June 30, 2004	August 20, 2013
4768863	CFA INSTITUTE	Carry all bags, tote bags and leather goods, namely, briefcases, wallets and handbags. Apparel, namely, shirts, jackets and headwear. On-line retail store services featuring general consumer merchandise.	May 7, 2012	July 7, 2015

The above-referenced trademark registrations are valid and subsisting, and provide conclusive evidence of CFA Institute's right to use the trademarks in commerce. Attached hereto as Exhibit A and made part of the record are true and correct copies of the United States Certificates of Registration and TESS print-outs for the above-referenced trademark registrations.

(5) CFA Institute certifies the financial analysis services of others (the "Certification Services") under its CFA CHARTERED FINANCIAL ANALYST & Design Mark (Reg. No. 2661114) (the "Certification Mark"), and offers educational, publication, and association goods and services "in the field of financial analysis" (collectively hereinafter, together with the Certification Services, the "CFA Institute Goods & Services") under its marks C.F.A. (Reg. No.

935504), CFA (Reg. No. 2493889), CFA (Reg. No. 2495459), CFA THE INSTITUTE OF CHARTERED FINANCIAL ANALYSTS & Design (Reg. No. 2580663), CFA INSTITUTE (Reg. No. 3202615), CFA INSTITUTE & Design (Reg. No. 4296372), CFA INSTITUTE (Reg. No. 4389314), and CFA INSTITUTE (Reg. No. 4768863) (collectively hereinafter, together with the Certification Mark, the “CFA Marks”). Since as early as 1962, CFA Institute and its predecessors in interest have continuously used the CFA Marks in interstate commerce.

(6) The CFA Marks clearly establish that CFA Institute has senior trademark rights in its family of CFA Marks and consequently there is no question of priority of rights, as such priority clearly belongs to CFA Institute.

(7) CFA Institute’s United States Trademark Registration Nos. 935504, 2493899, 2495459, 2580663, 2661114, and 3202615 and are valid and incontestable under Section 15 of the Lanham Act, 15 U.S.C. § 1065, and are, therefore, conclusive evidence of the validity of the registered marks and of the registration of the marks, of CFA Institute’s ownership of the marks, and of CFA Institute’s exclusive right to use the registered marks in commerce under Section 33 of the Lanham Act, 15 U.S.C. § 1115. As such, CFA Institute’s incontestable federal trademark registrations confer exclusive use of the CFA Marks throughout the United States in connection with the CFA Institute Goods & Services.

(8) CFA Institute owns nine trademark registrations for the CFA Marks, with a date of first use at least as early as 1962.

(9) CFA Institute has extensively used the CFA Marks and has advertised, promoted, and offered the CFA Institute Goods & Services under the CFA Marks in interstate commerce through various channels of trade. As a result, the customers and potential customers of CFA Institute, and the public in general have come to know and recognize the CFA Marks as

identifying the CFA Institute Goods & Services as goods and services of the highest quality offered by CFA Institute, and associate the CFA Marks with the CFA Institute Goods & Services. CFA Institute has, thus, built up extensive and invaluable goodwill in connection with the sale of its goods and services offered under its CFA Marks.

(10) CFA Institute administers the internationally recognized CFA Program. The CFA Program is a graduate level, self-study examination system for investment professionals. The CFA Program sets the global standard for investment knowledge, standards, and ethics, and is highly esteemed worldwide.

(11) The CFA qualification may be described as roughly equivalent to a post-graduate degree in investment management. Candidates who seek the CFA charter and membership in CFA Institute must:

- (i) have at least four years of acceptable work experience as a financial analyst; that is, someone who spends a substantial portion of time collecting, evaluating, or applying financial, economic, and statistical data, as appropriate, in the investment decision-making process;
- (ii) pass a series of three rigorous, six-hour examinations, covering, *inter alia*, the fields of accounting, economics, securities analysis, and asset portfolio management;
- (iii) submit sponsorship forms from other members and a supervisor; and
- (iv) comply at all times with the Code of Ethics and Standards of Professional Conduct of CFA Institute.

(12) Upon successful completion of CFA Institute's registration process and examination, candidates are awarded the right to use the CFA Certification Mark, the

professional designation “Chartered Financial Analyst” or “CFA” (collectively hereinafter, the “Professional Designation”), and become eligible for CFA Institute’s membership. Members must pay annual dues and sign a professional conduct statement each year.

(13) CFA Institute offers a range of educational programs and services for members, program candidates, investors, employers, institutions, and the press. CFA Institute’s mission is to lead the investment profession globally by setting the highest standards of ethics, education, and professional excellence. To reflect this, CFA Institute has developed a code of ethics and standards of professional conduct for investment professionals. All members of CFA Institute and all CFA Program candidates must adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct.

(14) CFA Institute has used the CFA Marks for over fifty years, and has invested significant amounts of time, money, and effort in advertising and promoting the CFA Marks. CFA Institute’s advertisements are seen and heard around the world by potential candidates, investment professionals, high-net-worth investors, employers, and regulators. CFA Institute regularly advertises in print and online versions of *The Economist*, *Bloomberg Markets*, *Financial Times*, *Wall Street Journal*, *Reuters*, *Business Insider*, *Globe and Mail*, and other highprofile publications read by investment professionals worldwide. CFA Institute also advertises on social media sites such as Facebook, Twitter, SinaWeibo, LinkedIn, and Google+.

(15) CFA Institute’s charterholders heavily use and rely upon the CFA Certification Mark and Professional Designation to signify their mastery of the CFA Program and rigorous examinations, adherence to a code of ethics, and specific work and education requirements.

(16) The CFA Certification Mark and Professional Designation hold great value for CFA Institute’s charterholders.

(17) CFA Institute's CFA Marks, including in particular the CFA Certification Mark and Professional Designation, are known as the gold standard of professional credentials within the global investment community.

(18) Investors and financial professionals recognize the CFA Marks as the definitive standard for measuring competence and integrity in the fields of portfolio management and investment analysis.

(19) The CFA Marks are well-known and famous among the general public as signifying the CFA Institute Goods & Services, including in particular the Certification Services, and have been famous since long before Applicant began engaging in the complained of conduct in this Notice of Opposition.

APPLICANT'S APPLICATION

(20) Notwithstanding CFA Institute's exclusive and long-standing rights in and to the CFA Marks, on March 4, 2015, Applicant, a New York non-profit association having an address at Suite 1801, 370 – 7th Avenue, New York, New York 10001, filed an intent-to-use based application under Section 1(b) of the Lanham Act, 15 U.S.C. § 1051(b), with the USPTO to register the service mark CFA FUNDING CONNECTION (hereinafter the "Application"). The Application was assigned Serial No. 86553367. CFA Institute's federal registrations for the CFA Marks issued as early as June 6, 1972, with a date of first use at least as early as 1962; therefore, there is no issue as to priority as CFA Institute has prior rights.

(21) The term "CFA" is the predominant term in Applicant's service mark CFA FUNDING CONNECTION.

(22) Applicant's Services are closely related to the CFA Institute Goods & Services.

(23) Applicant's use of the service mark CFA FUNDING CONNECTION is nearly identical to and confusingly similar to CFA Institute's CFA Marks in appearance, sound, meaning, and commercial impression.

(24) Applicant's use of the service mark CFA FUNDING CONNECTION trades off the goodwill of CFA Institute's CFA Marks and is without permission or license from CFA Institute.

(25) Upon information and belief, Applicant advertises its services in commerce using the service mark CFA FUNDING CONNECTION, which is nearly identical to and confusingly similar to the CFA Marks of CFA Institute. Both Parties utilize the same or similar channels of trade.

(26) Applicant uses and intends to use the service mark CFA FUNDING CONNECTION without the authorization of CFA Institute, thereby confusing consumers as to the source of the goods and services and resulting in damage and detriment to CFA Institute and its reputation and goodwill, and harm to its authorized CFA charterholders.

(27) Consumers are likely to believe mistakenly that Applicant is affiliated or connected with, or otherwise authorized or sponsored by CFA Institute. Thus, Applicant's conduct is likely to harm consumers.

(28) Upon information and belief, Applicant knew or had reason to know of CFA Institute's CFA Marks when Applicant filed the Application.

(29) Upon information and belief, Applicant adopted and uses the service mark CFA FUNDING CONNECTION so as to create consumer confusion and traffic off CFA Institute's reputation and goodwill under the CFA Marks.

(30) CFA Institute has used its CFA Marks continuously on or in connection with the CFA Institute Goods & Services in interstate commerce prior to the filing date of Applicant's Application.

LIKELIHOOD OF CONFUSION
Section 2(d) of the Lanham Act, 15 U.S.C. § 1052(d)

(31) CFA Institute re-alleges the allegations contained in Paragraphs 1 through 30 of this Notice of Opposition.

(32) The service mark that Applicant seeks to register so resembles CFA Institute's CFA Marks in appearance, sound, meaning, and commercial impression that the use and registration thereof is likely to cause confusion, mistake, and deception as to the source or origin of Applicant's Services in violation of Section 2(d) of the Lanham Act, 15 U.S.C. § 1052(d), and will injure and damage CFA Institute and the goodwill and reputation symbolized by CFA Institute's CFA Marks.

(33) Applicant's Services offered under the Application are so related to the goods and services offered under CFA Institute's CFA Marks, including CFA Institute's Certification Services under the Certification Mark, that the public is likely to be confused, deceived, and to assume erroneously that Applicant's Services are those of CFA Institute or that Applicant is in some way connected with, licensed, or sponsored by or affiliated with CFA Institute, all to CFA Institute's irreparable damage.

(34) Likelihood of confusion is enhanced by the fact that the CFA Marks are strong, famous, well-known, and entitled to a broad scope of protection.

(35) Likelihood of confusion is also enhanced by the fact that Applicant's service mark CFA FUNDING CONNECTION is visually and phonetically nearly identical to or substantially

indistinguishable from the CFA Marks, and Applicant's Services are nearly identical to the CFA Institute Goods & Services, including CFA Institute's association services under the CFA Marks.

(36) Likelihood is further enhanced by the fact that the Application and CFA Institute's CFA Marks both prominently incorporate the identical, key component "CFA" and the Applicant's Services are closely related to the CFA Institute Goods & Services. The terms "FUNDING CONNECTION" are non-distinctiveness, and "FUNDING" is disclaimed in the Application. As such, the dominant element of Applicant's service mark is the distinctive component "CFA," and the Application is used "as part of association services and for the benefit of the association's commercial lending members."

(37) Likelihood of confusion is even further enhanced by the fact that the Parties market and will likely market their goods and services in the same or similar channels of trade.

(38) Applicant is not affiliated or connected with CFA Institute and has not been endorsed or sponsored by CFA Institute, nor has CFA Institute approved any of the services offered or sold or intended to be sold by Applicant under the service mark CFA FUNDING CONNECTION.

(39) Applicant has never sought or obtained CFA Institute's permission to use the service mark CFA FUNDING CONNECTION, nor has CFA Institute approved any of the services offered by Applicant under the service mark CFA FUNDING CONNECTION.

(40) CFA Institute's United States Trademark Registrations identified above provide, at the very least, constructive notice to Applicant of CFA Institute's rights in and to the CFA Marks.

DILUTION BY BLURRING
Section 43(c) of the Lanham Act, 15 U.S.C. § 1125(c)

(41) CFA Institute re-alleges the allegations contained in Paragraphs 1 through 40 of this Notice of Opposition.

(42) For many years, CFA Institute's CFA Marks have been widely used and extensively advertised in the United States and internationally. As a result, the CFA Marks have become well-known and famous as a distinctive symbol of the CFA Institute Goods & Services and goodwill.

(43) CFA Institute's CFA Marks became well-known and famous before Applicant made any use of or applied to register the mark CFA FUNDING CONNECTION.

(44) Applicant's service mark CFA FUNDING CONNECTION is likely to cause dilution by blurring of the distinctive quality of CFA Institute's famous CFA Marks.

(45) Use and registration of Applicant's service mark CFA FUNDING CONNECTION will lessen the capacity of CFA Institute's famous CFA Marks to identify and distinguish the CFA Institute Goods & Services.

If Applicant obtains such rights as conferred under the Principal Register of the Lanham Act, it will obtain at least a *prima facie* exclusive right to use its service mark, and CFA Institute will be subjected to great and irreparable damage, and Applicant will enjoy unlawful gain and advantage to which it is not entitled under the Lanham Act.

WHEREFORE, CFA Institute believes and avers that it is being, and will continue to be, damaged by the registration of the Application, and respectfully requests that the Application be rejected, that no registration be issued thereon to Applicant, and that the Opposition be sustained in favor of CFA Institute.

CFA Institute hereby appoints Ann K. Ford, a member of the Bar of the District of Columbia; Thomas E. Zutic, a member of the Bar of the District of Columbia; Ryan C. Compton, a member of the Bar of the District of Columbia; John M. Nading, a member of the Bar of the District of Columbia; David M. Kramer, a member of the Bar of the District of Columbia; Ashley H. Joyce, a member of the Bar of the District of Columbia, Eunice R. Chung, a member of the Bar of the District of Columbia, James Stewart, a member of the Bar of the State of New York, and all of the law firm of DLA Piper LLP (US), 500 8th Street, N.W., Washington, D.C. 20004, telephone number (202) 799-4000, to transact all business in the USPTO in connection with this Opposition Proceeding and hereby revokes all previous powers of attorney herein.

Please address all correspondence to:

Ann K. Ford, Esq.
DLA Piper LLP (US)
500 8th Street, N.W.
Washington, D.C. 20004
dctrademarks@dlapiper.com

The filing fee for this Opposition, in the amount of \$300.00, is hereby electronically transferred with the submission of the Notice of Opposition.

The undersigned, registered agent for CFA Institute herein, states that she is authorized to prosecute this Opposition, that she has read and signed the foregoing Notice of Opposition and knows the contents thereof, and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that willful false statements may jeopardize the validity of this Opposition and any decision resulting therefrom.

Dated: February 8, 2016

Respectfully submitted,

DLA PIPER LLP (US)

By: /s/ Ann K. Ford
Ann K. Ford
Ryan C. Compton
John M. Nading
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500 8th Street, N.W.
Washington, D.C. 20004
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Fax 202-799-5000

*Attorneys for Opposer
CFA Institute*

EXHIBIT A

Int. Cl.: 42

Prior U.S. Cl.: 100

United States Patent and Trademark Office

Reg. No. 935,504

Registered June 6, 1972

10 Year Renewal

Renewal Term Begins June 6, 1992

**SERVICE MARK
PRINCIPAL REGISTER**

C.F.A.

INSTITUTE OF CHARTERED FINAN-
CIAL ANALYSTS, THE (VIRGINIA
CORPORATION)
5 BOAR'S HEAD LANE
CHARLOTTESVILLE, VA 22901

EST AND PROFESSIONAL STAND-
ARDS IN THE FIELD OF FINANCIAL
ANALYSTS, IN CLASS 100 (INT. CL. 42).

FIRST USE 9-15-1963; IN COMMERCE
9-15-1963.

FOR: ASSOCIATION SERVICES—
NAMELY, THE PROMOTION OF INTER-

SER. NO. 72-368,023, FILED 8-14-1970.

*In testimony whereof I have hereunto set my hand
and caused the seal of The Patent and Trademark
Office to be affixed on Apr. 14, 1992.*

COMMISSIONER OF PATENTS AND TRADEMARKS

Registered June 6, 1972 **Certificate of Correction** Registration No. 935,504

The Institute of Chartered Financial Analysts

It is hereby certified that the above identified registration is in error requiring correction as follows:

In the statement, column 1, line 1, " , Inc." should be deleted.

The said registration should be read as corrected above.
Signed and sealed this 29th day of August 1972.

[SEAL]

Attest:

C. M. WENDT,
Attesting Officer.

ROBERT GOTTSCHALK,
Commissioner of Patents.

United States Patent Office

935,504
Registered June 6, 1972

PRINCIPAL REGISTER Service Mark

Ser. No. 368,023, filed Aug. 14, 1970

C.F.A.

The Institute of Chartered Financial Analysts, Inc. (Virginia corporation)
Monroe Hall, University of Virginia
Charlottesville, Va. 22903

For: ASSOCIATION SERVICES—NAMELY, THE PROMOTION OF INTEREST AND PROFESSIONAL STANDARDS IN THE FIELD OF FINANCIAL ANALYSTS—in CLASS 100 (INT. CL. 42).
First use Sept. 15, 1963; in commerce Sept. 15, 1963.



United States Patent and Trademark Office

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Typed Drawing

Word Mark C.F.A.

Goods and Services IC 042. US 100. G & S: ASSOCIATION SERVICES-NAMELY, THE PROMOTION OF INTEREST AND PROFESSIONAL STANDARDS IN THE FIELD OF FINANCIAL ANALYSTS. FIRST USE: 19630915. FIRST USE IN COMMERCE: 19630915

Mark Drawing Code (1) TYPED DRAWING

Serial Number 72368023

Filing Date August 14, 1970

Current Basis 1A

Original Filing Basis 1A

Change In Registration CHANGE IN REGISTRATION HAS OCCURRED

Registration Number 0935504

Registration Date June 6, 1972

Owner (REGISTRANT) INSTITUTE OF CHARTERED FINANCIAL ANALYSTS, THE CORPORATION VIRGINIA 5 BOAR'S HEAD LANE CHARLOTTESVILLE VIRGINIA 22901

(LAST LISTED OWNER) CFA INSTITUTE NON-STOCK CORPORATION VIRGINIA 560 RAY C. HUNT DRIVE CHARLOTTESVILLE VIRGINIA 22903

Assignment Recorded ASSIGNMENT RECORDED

Attorney of Record Ann K. Ford

Type of Mark SERVICE MARK

Register PRINCIPAL

Affidavit SECT 15. SECT 8 (6-YR). SECTION 8(10-YR) 20120328.

Text

Renewal 2ND RENEWAL 20120328

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Indicator** LIVE

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Int. Cl.: 41

Prior U.S. Cls.: 100, 101 and 107

United States Patent and Trademark Office

Reg. No. 2,493,899

Registered Oct. 2, 2001

**SERVICE MARK
PRINCIPAL REGISTER**

CFA

ASSOCIATION FOR INVESTMENT MANAGE-
MENT AND RESEARCH (VIRGINIA NON-
STOCK CORPORATION)
5 BOAR'S HEAD LANE
CHARLOTTESVILLE, VA 229030668

FOR: EDUCATIONAL SERVICES, NAMELY AR-
RANGING, CONDUCTING AND PROVIDING
COURSES OF INSTRUCTION, WORKSHOPS, SEMI-
NARS, AND CONFERENCES IN THE FIELD OF

FINANCIAL ANALYSIS AND DISTRIBUTING
COURSE MATERIALS IN CONNECTION THERE-
WITH, IN CLASS 41 (U.S. CLS. 100, 101 AND 107).

FIRST USE 12-31-1962; IN COMMERCE 12-31-1962.

SER. NO. 75-788,563, FILED 8-30-1999.

JOHN DALIER, EXAMINING ATTORNEY



United States Patent and Trademark Office

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CFA

Word Mark CFA

Goods and Services IC 041. US 100 101 107. G & S: EDUCATIONAL SERVICES, NAMELY ARRANGING, CONDUCTING AND PROVIDING COURSES OF INSTRUCTION, WORKSHOPS, SEMINARS, AND CONFERENCES IN THE FIELD OF FINANCIAL ANALYSIS AND DISTRIBUTING COURSE MATERIALS IN CONNECTION THEREWITH. FIRST USE: 19621231. FIRST USE IN COMMERCE: 19621231

Mark Drawing Code (1) TYPED DRAWING

Serial Number 75788563

Filing Date August 30, 1999

Current Basis 1A

Original Filing Basis 1A

Published for Opposition July 10, 2001

Registration Number 2493899

Registration Date October 2, 2001

Owner (REGISTRANT) Association for Investment Management and Research NON-STOCK CORPORATION VIRGINIA 5 Boar's Head Lane Charlottesville VIRGINIA 229030668

(LAST LISTED OWNER) CFA INSTITUTE NON-STOCK CORPORATION VIRGINIA 560 RAY C. HUNT DRIVE CHARLOTTESVILLE VIRGINIA 22903

Assignment Recorded ASSIGNMENT RECORDED

Attorney of Record Ann K. Ford

Type of Mark SERVICE MARK

Register PRINCIPAL

Affidavit Text SECT 15. SECT 8 (6-YR). SECTION 8(10-YR) 20110930.

Renewal 1ST RENEWAL 20110930

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Int. Cl.: 16

Prior U.S. Cls.: 2, 5, 22, 23, 29, 37, 38 and 50

United States Patent and Trademark Office

Reg. No. 2,495,459

Registered Oct. 9, 2001

**TRADEMARK
PRINCIPAL REGISTER**

CFA

ASSOCIATION FOR INVESTMENT MANAGE-
MENT AND RESEARCH (VIRGINIA NON-
STOCK CORPORATION)

5 BOAR'S HEAD LANE
CHARLOTTESVILLE, VA 229030668

FOR: PRINTED PUBLICATIONS IN THE FIELD
OF FINANCIAL ANALYSIS AND IN SUPPORT OF

THE INTERESTS OF FINANCIAL ANALYSTS , IN
CLASS 16 (U.S. CLS. 2, 5, 22, 23, 29, 37, 38 AND 50).

FIRST USE 12-31-1965; IN COMMERCE 12-31-1965.

SER. NO. 75-788,219, FILED 8-30-1999.

JOHN DALIER, EXAMINING ATTORNEY



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CFA

Word Mark CFA
Goods and Services IC 016. US 002 005 022 023 029 037 038 050. G & S: Printed Publications in the Field of Financial Analysis and in Support of the Interests of Financial Analysts. FIRST USE: 19651231. FIRST USE IN COMMERCE: 19651231
Mark Drawing Code (1) TYPED DRAWING
Serial Number 75788219
Filing Date August 30, 1999
Current Basis 1A
Original Filing Basis 1A
Published for Opposition July 17, 2001
Registration Number 2495459
Registration Date October 9, 2001
Owner (REGISTRANT) Association for Investment Management and Research NON-STOCK CORPORATION VIRGINIA 5 Boar's Head Lane Charlottesville VIRGINIA 229030668
 (LAST LISTED OWNER) CFA INSTITUTE NON-STOCK CORPORATION VIRGINIA 560 RAY C. HUNT DRIVE CHARLOTTESVILLE VIRGINIA 22903
Assignment Recorded ASSIGNMENT RECORDED

Attorney of Record Ann K. Ford
Type of Mark TRADEMARK
Register PRINCIPAL
Affidavit Text SECT 15. SECT 8 (6-YR). SECTION 8(10-YR) 20111003.
Renewal 1ST RENEWAL 20111003
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Int. Cl.: 16

Prior U.S. Cls.: 2, 5, 22, 23, 29, 37, 38 and 50

Reg. No. 2,580,663

United States Patent and Trademark Office

Registered June 18, 2002

**TRADEMARK
PRINCIPAL REGISTER**



ASSOCIATION FOR INVESTMENT MANAGEMENT AND RESEARCH (VIRGINIA NON-STOCK CORPORATION)
5 BOAR'S HEAD LANE
CHARLOTTESVILLE, VA 229030668

THE INTERESTS OF FINANCIAL ANALYSTS, IN CLASS 16 (U.S. CLS. 2, 5, 22, 23, 29, 37, 38 AND 50).

FIRST USE 6-30-1971; IN COMMERCE 6-30-1971.

SER. NO. 75-788,223, FILED 8-30-1999.

FOR: PRINTED PUBLICATIONS IN THE FIELD OF FINANCIAL ANALYSIS AND IN SUPPORT OF

JOHN DALIER, EXAMINING ATTORNEY

Int. Cl.: 16

Prior U.S. Cls.: 2, 5, 22, 23, 29, 37, 38 and 50

Reg. No. 2,580,663

United States Patent and Trademark Office

Registered June 18, 2002

**TRADEMARK
PRINCIPAL REGISTER**



ASSOCIATION FOR INVESTMENT MANAGE-
MENT AND RESEARCH (VIRGINIA NON-
STOCK CORPORATION)
5 BOAR'S HEAD LANE
CHARLOTTESVILLE, VA 229030668

THE INTERESTS OF FINANCIAL ANALYSTS , IN
CLASS 16 (U.S. CLS. 2, 5, 22, 23, 29, 37, 38 AND 50).

FIRST USE 6-30-1971; IN COMMERCE 6-30-1971.

SER. NO. 75-788,223, FILED 8-30-1999.

FOR: PRINTED PUBLICATIONS IN THE FIELD
OF FINANCIAL ANALYSIS AND IN SUPPORT OF

JOHN DALIER, EXAMINING ATTORNEY



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Word Mark CFA THE INSTITUTE OF CHARTERED FINANCIAL ANALYSTS

Goods and Services IC 016. US 002 005 022 023 029 037 038 050. G & S: Printed Publications in the Field of Financial Analysis and in Support of the Interests of Financial Analysts. FIRST USE: 19710630. FIRST USE IN COMMERCE: 19710630

Mark Drawing Code (3) DESIGN PLUS WORDS, LETTERS, AND/OR NUMBERS

Design Search Code 26.03.01 - Ovals as carriers and single line borders
26.03.21 - Ovals that are completely or partially shaded

Serial Number 75788223

Filing Date August 30, 1999

Current Basis 1A

Original Filing Basis 1A

Published for Opposition March 26, 2002

Registration Number 2580663

Registration Date June 18, 2002

Owner (REGISTRANT) Association for Investment Management and Research NON-STOCK CORPORATION VIRGINIA 5 Boar's Head Lane Charlottesville VIRGINIA 229030668

(LAST LISTED OWNER) CFA INSTITUTE NON-STOCK CORPORATION VIRGINIA 560 RAY C. HUNT

DRIVE CHARLOTTESVILLE VIRGINIA 22903

Assignment Recorded ASSIGNMENT RECORDED
Attorney of Record Ann K. Ford
Type of Mark TRADEMARK
Register PRINCIPAL
Affidavit Text SECT 15. SECT 8 (6-YR). SECTION 8(10-YR) 20120525.
Renewal 1ST RENEWAL 20120525
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Prior U.S. Cl.: B

United States Patent and Trademark Office

Reg. No. 2,661,114

Registered Dec. 17, 2002

**CERTIFICATION MARK
PRINCIPAL REGISTER**



ASSOCIATION FOR INVESTMENT MANAGEMENT AND RESEARCH (VIRGINIA NON-STOCK CORPORATION)
5 BOAR'S HEAD LANE
CHARLOTTESVILLE, VA 229030668

FOR: FINANCIAL ANALYSIS SERVICES, IN CLASS B (U.S. CL. B).

FIRST USE 5-1-1999; IN COMMERCE 5-1-1999.

OWNER OF U.S. REG. NO. 935,504.

THE CERTIFICATION MARK IS USED ON PROMOTIONAL MATERIALS DIRECTED AT POTENTIAL EMPLOYERS AND OTHER PROMOTIONAL MATERIALS.

SEC. 2(F).

SER. NO. 75-788,557, FILED 8-30-1999.

JOHN DALIER, EXAMINING ATTORNEY



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Word Mark	CFA CHARTERED FINANCIAL ANALYST
Goods and Services	IC B . US B . G & S: FINANCIAL ANALYSIS SERVICES. FIRST USE: 19990501. FIRST USE IN COMMERCE: 19990501
Mark Drawing Code	(3) DESIGN PLUS WORDS, LETTERS, AND/OR NUMBERS
Design Search Code	26.01.02 - Circles, plain single line; Plain single line circles 26.01.21 - Circles that are totally or partially shaded.
Serial Number	75788557
Filing Date	August 30, 1999
Current Basis	1A
Original Filing Basis	1A
Published for Opposition	September 24, 2002
Registration Number	2661114
Registration Date	December 17, 2002
Owner	(REGISTRANT) Association for Investment Management and Research NON-STOCK CORPORATION VIRGINIA 5 Boar's Head Lane Charlottesville VIRGINIA 229030668 (LAST LISTED OWNER) CFA INSTITUTE NON-STOCK CORPORATION VIRGINIA 560 RAY C. HUNT DRIVE CHARLOTTESVILLE VIRGINIA 22903
Assignment Recorded	ASSIGNMENT RECORDED
Attorney of Record	Ann K. Ford

Prior Registrations 0935504
Type of Mark CERTIFICATION MARK
Register PRINCIPAL-2(F)
Affidavit Text SECT 15. SECT 8 (6-YR). SECTION 8(10-YR) 20120828.
Renewal 1ST RENEWAL 20120828
Other Data The certification mark is used on promotional materials directed at potential employers and other promotional materials.
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Int. Cls.: 16, 35, and 41

**Prior U.S. Cls.: 2, 5, 22, 23, 29, 37, 38, 50, 100, 101,
102, and 107**

Reg. No. 3,202,615

United States Patent and Trademark Office

Registered Jan. 23, 2007

**TRADEMARK
SERVICE MARK
PRINCIPAL REGISTER**

CFA INSTITUTE

CFA INSTITUTE (VIRGINIA NON-STOCK CORPORATION)

560 RAY C. HUNT DRIVE
CHARLOTTESVILLE, VA 22903

FOR: PRINTED PUBLICATIONS, NAMELY, NEWSLETTERS, BROCHURES, BOOKS, DIGEST BOOKS, AND MONOGRAPHS IN THE FIELDS OF INVESTMENT MANAGEMENT AND FINANCIAL ANALYSIS AND IN SUPPORT OF THE INTERESTS OF INVESTMENT PROFESSIONALS AND FINANCIAL ANALYSTS, IN CLASS 16 (U.S. CLS. 2, 5, 22, 23, 29, 37, 38 AND 50).

FIRST USE 6-1-2004; IN COMMERCE 6-1-2004.

FOR: ASSOCIATION SERVICES, NAMELY, THE PROMOTION OF PROFESSIONAL STANDARDS AND PRACTICES AND PROVIDING CAREER INFORMATION IN THE FIELDS OF INVESTMENT MANAGEMENT AND FINANCIAL ANALYSIS; PROMOTING THE INTERESTS OF INVESTMENT PROFESSIONALS AND FINANCIAL ANALYSTS, IN CLASS 35 (U.S. CLS. 100, 101 AND 102).

FIRST USE 6-1-2004; IN COMMERCE 6-1-2004.

FOR: EDUCATIONAL SERVICES, NAMELY, ARRANGING, CONDUCTING, AND PROVIDING COURSES OF INSTRUCTION, EXAMINATIONS, WORKSHOPS, SEMINARS AND CONFERENCES IN THE FIELDS OF INVESTMENT MANAGEMENT AND FINANCIAL ANALYSIS AND DISTRIBUTING COURSE MATERIALS IN CONNECTION THEREWITH, IN CLASS 41 (U.S. CLS. 100, 101 AND 107).

FIRST USE 6-1-2004; IN COMMERCE 6-1-2004.

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

OWNER OF U.S. REG. NOS. 935,504, 2,495,459, AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INSTITUTE", APART FROM THE MARK AS SHOWN.

SN 78-411,289, FILED 4-30-2004.

CHRISTOPHER BUONGIORNO, EXAMINING ATTORNEY



United States Patent and Trademark Office

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CFA INSTITUTE

Word Mark CFA INSTITUTE

Goods and Services IC 016. US 002 005 022 023 029 037 038 050. G & S: Printed publications, namely, newsletters, brochures, books, digest books, and monographs in the fields of investment management and financial analysis and in support of the interests of investment professionals and financial analysts. FIRST USE: 20040601. FIRST USE IN COMMERCE: 20040601

IC 035. US 100 101 102. G & S: Association services, namely, the promotion of professional standards and practices and providing career information in the fields of investment management and financial analysis; promoting the interests of investment professionals and financial analysts. FIRST USE: 20040601. FIRST USE IN COMMERCE: 20040601

IC 041. US 100 101 107. G & S: Educational services, namely, arranging, conducting, and providing courses of instruction, examinations, workshops, seminars and conferences in the fields of investment management and financial analysis and distributing course materials in connection therewith. FIRST USE: 20040601. FIRST USE IN COMMERCE: 20040601

Standard Characters Claimed

Mark Drawing Code (4) STANDARD CHARACTER MARK

Serial Number 78411289

Filing Date April 30, 2004

Current Basis 1A

Original Filing Basis 1B

Published for Opposition January 10, 2006
Registration Number 3202615
Registration Date January 23, 2007
Owner (REGISTRANT) CFA INSTITUTE NON-STOCK CORPORATION VIRGINIA 560 RAY C. HUNT DRIVE CHARLOTTEVILLE VIRGINIA 22903
Assignment Recorded ASSIGNMENT RECORDED
Attorney of Record Ann K. Ford
Prior Registrations 0935504;2493899;2495459;AND OTHERS
Disclaimer NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INSTITUTE" APART FROM THE MARK AS SHOWN
Type of Mark TRADEMARK. SERVICE MARK
Register PRINCIPAL
Affidavit Text SECT 15. SECT 8 (6-YR).
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United States of America

United States Patent and Trademark Office



CFA Institute

Reg. No. 4,296,372

Registered Feb. 26, 2013

Int. Cls.: 16, 35, and 41

TRADEMARK

SERVICE MARK

PRINCIPAL REGISTER

CFA INSTITUTE (VIRGINIA NON-STOCK CORPORATION)
560 RAY C. HUNT DRIVE
CHARLOTTESVILLE, VA 22903

FOR: PRINTED PUBLICATIONS, NAMELY, NEWSLETTERS, BROCHURES, BOOKS, DIGEST BOOKS, AND MONOGRAPHS IN THE FIELDS OF INVESTMENT MANAGEMENT AND FINANCIAL ANALYSIS AND IN SUPPORT OF THE INTERESTS OF INVESTMENT PROFESSIONALS AND FINANCIAL ANALYSTS, IN CLASS 16 (U.S. CLS. 2, 5, 22, 23, 29, 37, 38 AND 50).

FIRST USE 5-18-2012; IN COMMERCE 5-18-2012.

FOR: ASSOCIATION SERVICES, NAMELY, THE PROMOTION OF PROFESSIONAL STANDARDS AND PRACTICES AND PROVIDING CAREER INFORMATION IN THE FIELDS OF INVESTMENT MANAGEMENT AND FINANCIAL ANALYSIS; PROMOTING THE INTERESTS OF INVESTMENT PROFESSIONALS AND FINANCIAL ANALYSTS, IN CLASS 35 (U.S. CLS. 100, 101 AND 102).

FIRST USE 5-7-2012; IN COMMERCE 5-7-2012.

FOR: EDUCATIONAL SERVICES, NAMELY, ARRANGING, CONDUCTING, AND PROVIDING COURSES OF INSTRUCTION, EXAMINATIONS, WORKSHOPS, SEMINARS AND CONFERENCES IN THE FIELDS OF INVESTMENT MANAGEMENT AND FINANCIAL ANALYSIS AND DISTRIBUTING COURSE MATERIALS IN CONNECTION THEREWITH, IN CLASS 41 (U.S. CLS. 100, 101 AND 107).

FIRST USE 5-7-2012; IN COMMERCE 5-7-2012.

OWNER OF U.S. REG. NOS. 3,202,615, 3,671,956, AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INSTITUTE", APART FROM THE MARK AS SHOWN.



Lea Street Lee

Acting Director of the United States Patent and Trademark Office

THE MARK CONSISTS OF A STYLIZED CIRCULAR DESIGN CONSISTING OF SEVEN SET OF BARS THAT HAVE THREE LINES OF DIFFERENT LENGTHS IN EACH BAR; TO THE RIGHT OF THE DESIGN ARE THE WORDS "CFA INSTITUTE".

Reg. No. 4,296,372 SN 85-478,638, FILED 11-22-2011.

ANDREA K. NADELMAN, EXAMINING ATTORNEY

**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.

**The United States Patent and Trademark Office (USPTO) will NOT send you any future notice or
reminder of these filing requirements.**

***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 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>.



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CFA Institute

Word Mark CFA INSTITUTE

Goods and Services IC 016. US 002 005 022 023 029 037 038 050. G & S: Printed publications, namely, newsletters, brochures, books, digest books, and monographs in the fields of investment management and financial analysis and in support of the interests of investment professionals and financial analysts. FIRST USE: 20120518. FIRST USE IN COMMERCE: 20120518

IC 035. US 100 101 102. G & S: Association services, namely, the promotion of professional standards and practices and providing career information in the fields of investment management and financial analysis; promoting the interests of investment professionals and financial analysts. FIRST USE: 20120507. FIRST USE IN COMMERCE: 20120507

IC 041. US 100 101 107. G & S: Educational services, namely, arranging, conducting, and providing courses of instruction, examinations, workshops, seminars and conferences in the fields of investment management and financial analysis and distributing course materials in connection therewith. FIRST USE: 20120507. FIRST USE IN COMMERCE: 20120507

Mark Drawing Code (3) DESIGN PLUS WORDS, LETTERS, AND/OR NUMBERS

Design Search Code 26.01.12 - Circles with bars, bands and lines

Serial Number 85478638

Filing Date November 22, 2011

Current Basis 1A

Original Filing Basis 1B

Published

for Opposition May 8, 2012

Registration Number 4296372

International Registration Number 1102821

Registration Date February 26, 2013

Owner (REGISTRANT) CFA Institute non-stock corporation VIRGINIA 560 Ray C. Hunt Drive Charlottesville VIRGINIA 22903

Attorney of Record Ann K. Ford

Prior Registrations 3202615;3308178;3671956;AND OTHERS

Disclaimer NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INSTITUTE" APART FROM THE MARK AS SHOWN

Description of Mark Color is not claimed as a feature of the mark. The mark consists of a stylized circular design consisting of seven set of bars that have three lines of different lengths in each bar; to the right of the design are the words "CFA INSTITUTE".

Type of Mark TRADEMARK. SERVICE MARK

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United States of America

United States Patent and Trademark Office

CFA INSTITUTE

Reg. No. 4,389,314

Registered Aug. 20, 2013

Int. Cl.: 9

TRADEMARK

PRINCIPAL REGISTER

CFA INSTITUTE (VIRGINIA NON-STOCK CORPORATION)
560 RAY C. HUNT DRIVE
CHARLOTTESVILLE, VA 22903

FOR: DOWNLOADABLE PUBLICATIONS, IN THE NATURE OF NEWSLETTERS, MAGAZINES, BOOKS, DIGEST BOOKS, AND MONOGRAPHS AND DOWNLOADABLE VIDEO AND AUDIO CONTENT, ALL IN THE FIELDS OF INVESTMENT MANAGEMENT AND FINANCIAL ANALYSIS, IN CLASS 9 (U.S. CLS. 21, 23, 26, 36 AND 38).

FIRST USE 6-0-2004; IN COMMERCE 6-0-2004.

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

OWNER OF U.S. REG. NOS. 3,202,615, 3,671,956, AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INSTITUTE", APART FROM THE MARK AS SHOWN.

SN 85-651,366, FILED 6-13-2012.

BRENDAN REGAN, EXAMINING ATTORNEY



Lisa Street Lee

Acting Director of the United States Patent and Trademark Office

**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.

**The United States Patent and Trademark Office (USPTO) will NOT send you any future notice or
reminder of these filing requirements.**

***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 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>.



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CFA INSTITUTE

Word Mark CFA INSTITUTE

Goods and Services IC 009. US 021 023 026 036 038. G & S: Downloadable publications, in the nature of newsletters, magazines, books, digest books, and monographs and downloadable video and audio content, all in the fields of investment management and financial analysis. FIRST USE: 20040600. FIRST USE IN COMMERCE: 20040600

Standard Characters Claimed

Mark Drawing Code (4) STANDARD CHARACTER MARK

Serial Number 85651366

Filing Date June 13, 2012

Current Basis 1A

Original Filing Basis 1B

Published for Opposition October 30, 2012

Registration Number 4389314

International Registration Number 1130423

Registration Date August 20, 2013

Owner (REGISTRANT) CFA INSTITUTE non-stock corporation VIRGINIA 560 RAY C. HUNT DRIVE
CHARLOTTESVILLE VIRGINIA 22903

Attorney of Record Ann K. Ford

Prior Registrations 3202615;3308178;3671956;AND OTHERS

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United States of America

United States Patent and Trademark Office

CFA INSTITUTE

Reg. No. 4,768,863

Registered July 7, 2015

Int. Cls.: 18, 25, and 35

CFA INSTITUTE (VIRGINIA NON-STOCK CORPORATION)
915 EAST HIGH STREET
CHARLOTTESVILLE, VA 22902

FOR: CARRY ALL BAGS, TOTE BAGS AND LEATHER GOODS, NAMELY, BRIEFCASES, WALLETS AND HANDBAGS , IN CLASS 18 (U.S. CLS. 1, 2, 3, 22 AND 41).

TRADEMARK

FIRST USE 5-7-2012; IN COMMERCE 5-7-2012.

SERVICE MARK

FOR: APPAREL, NAMELY, SHIRTS, JACKETS AND HEADWEAR, IN CLASS 25 (U.S. CLS. 22 AND 39).

PRINCIPAL REGISTER

FIRST USE 5-7-2012; IN COMMERCE 5-7-2012.

FOR: ON-LINE RETAIL STORE SERVICES FEATURING GENERAL CONSUMER MERCHANDISE, IN CLASS 35 (U.S. CLS. 100, 101 AND 102).

FIRST USE 5-7-2012; IN COMMERCE 5-7-2012.

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

OWNER OF U.S. REG. NOS. 2,580,663, 3,308,178, AND OTHERS.

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "INSTITUTE", APART FROM THE MARK AS SHOWN.

SN 85-137,642, FILED 9-24-2010.

KEVIN CORWIN, EXAMINING ATTORNEY



Michelle K. Lee

Director of the United States
Patent and Trademark Office

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Requirements in the First Ten Years*

What and When to File:

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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>.



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CFA INSTITUTE

Word Mark	CFA INSTITUTE
Goods and Services	<p>IC 018. US 001 002 003 022 041. G & S: Carry all bags, tote bags and leather goods, namely, briefcases, wallets and handbags. FIRST USE: 20120507. FIRST USE IN COMMERCE: 20120507</p> <p>IC 025. US 022 039. G & S: Apparel, namely, shirts, jackets and headwear. FIRST USE: 20120507. FIRST USE IN COMMERCE: 20120507</p> <p>IC 035. US 100 101 102. G & S: On-line retail store services featuring general consumer merchandise. FIRST USE: 20120507. FIRST USE IN COMMERCE: 20120507</p>
Standard Characters Claimed	
Mark Drawing Code	(4) STANDARD CHARACTER MARK
Serial Number	85137642
Filing Date	September 24, 2010
Current Basis	1A
Original Filing Basis	1B
Published for Opposition	March 25, 2014
Registration Number	4768863
International Registration Number	1054310
Registration Date	July 7, 2015

Owner (REGISTRANT) CFA Institute non-stock corporation VIRGINIA 915 East High Street Charlottesville VIRGINIA 22902

Attorney of Record Ann K. Ford

Prior Registrations 2580663;3202615;3308178;AND OTHERS

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CERTIFICATE OF SERVICE

This is to certify that a copy of the foregoing **NOTICE OF OPPOSITION** was served via U.S. First Class Mail, postage prepaid, and properly addressed to Applicant's counsel of record:

Oscar L. Alcantara
Goldberg Kohn Ltd
55 E Monroe St Ste 3300
Chicago, Illinois 60603-5792

this 8th day of February, 2016.

/s/ Ann K. Ford
Ann K. Ford
Attorney for Opposer