

Response to Office Action

The table below presents the data as entered.

| Input Field | Entered |
|--|--|
| SERIAL NUMBER | 86375674 |
| LAW OFFICE ASSIGNED | LAW OFFICE 106 |
| MARK SECTION | |
| MARK | http://tsdr.uspto.gov/img/86375674/large |
| LITERAL ELEMENT | FACTOR BASED ALPHA |
| STANDARD CHARACTERS | YES |
| USPTO-GENERATED IMAGE | YES |
| MARK STATEMENT | The mark consists of standard characters, without claim to any particular font style, size or color. |
| EVIDENCE SECTION | |
| EVIDENCE FILE NAME(S) | |
| ORIGINAL PDF FILE | evi_701095314-20150617102125911039_FACTOR_BASED_ALPHA_2e_response.pdf |
| CONVERTED PDF FILE(S) (8 pages) | \\TICRS\EXPORT16\IMAGEOUT16\863\756\86375674\xml4\ROA0002.JPG |
| | \\TICRS\EXPORT16\IMAGEOUT16\863\756\86375674\xml4\ROA0003.JPG |
| | \\TICRS\EXPORT16\IMAGEOUT16\863\756\86375674\xml4\ROA0004.JPG |
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| NEW ATTORNEY SECTION | |
| NAME | THOMAS DUNLAP |
| FIRM NAME | DUNLAP, BENNET & LUDWIG PLLC |
| STREET | 211 Church Street Se |
| CITY | Leesburg |
| STATE | Virginia |
| ZIP/POSTAL CODE | 20175 |
| COUNTRY | United States |
| PHONE | 703.777.7319 |
| EMAIL | ip@dbllawyers.com |
| AUTHORIZED EMAIL COMMUNICATION | Yes |

| CORRESPONDENCE SECTION | |
|--------------------------------|---|
| ORIGINAL ADDRESS | DISCIPLINED WEALTH STRATEGIES 14 MANCHESTER DR WRENTHAM Massachusetts (MA) US 02093-2505 |
| NEW CORRESPONDENCE SECTION | |
| NAME | THOMAS DUNLAP |
| FIRM NAME | DUNLAP, BENNET & LUDWIG PLLC |
| STREET | 211 Church Street SE |
| CITY | Leesburg |
| STATE | Virginia |
| ZIP/POSTAL CODE | 20175 |
| COUNTRY | United States |
| PHONE | 703.777.7319 |
| EMAIL | ip@dbllawyers.com;ip@dbllawyers.com |
| AUTHORIZED EMAIL COMMUNICATION | Yes |
| SIGNATURE SECTION | |
| RESPONSE SIGNATURE | /khardley/ |
| SIGNATORY'S NAME | KEISHA HARDLEY |
| SIGNATORY'S POSITION | Associate Attorney, Dunlap, Bennett & Ludwig PLLC (MD Bar) |
| SIGNATORY'S PHONE NUMBER | 703.777.7319 |
| DATE SIGNED | 06/17/2015 |
| AUTHORIZED SIGNATORY | YES |
| FILING INFORMATION SECTION | |
| SUBMIT DATE | Wed Jun 17 10:28:48 EDT 2015 |
| TEAS STAMP | USPTO/ROA-XX.XXX.XX.XX-20 150617102848457263-863756 74-530b2ee96e8da8b37b9634 035ebf2b7134d7d60df9f6872 c8a4cf6d36c5dd3995-N/A-N/ A-20150617102125911039 |

PTO Form 1957 (Rev 9/2005)
OMB No. 0651-0050 (Exp. 07/31/2017)

Response to Office Action

To the Commissioner for Trademarks:

Application serial no. **86375674** FACTOR BASED ALPHA(Standard Characters, see <http://tsdr.uspto.gov/img/86375674/large>) has been amended as follows:

EVIDENCE

Original PDF file:

[evi_701095314-20150617102125911039_-_FACTOR_BASED_ALPHA_2e_response.pdf](#)

Converted PDF file(s) (8 pages)

[Evidence-1](#)

[Evidence-2](#)

[Evidence-3](#)

[Evidence-4](#)

[Evidence-5](#)

[Evidence-6](#)

[Evidence-7](#)

[Evidence-8](#)

ATTORNEY ADDRESS

Applicant proposes to amend the following:

Proposed:

THOMAS DUNLAP of DUNLAP, BENNET & LUDWIG PLLC, having an address of
211 Church Street Se Leesburg, Virginia 20175
United States
ip@dbllawyers.com
703.777.7319

CORRESPONDENCE ADDRESS CHANGE

Applicant proposes to amend the following:

Current:

DISCIPLINED WEALTH STRATEGIES
14 MANCHESTER DR
WRENTHAM
Massachusetts (MA)
US
02093-2505

Proposed:

THOMAS DUNLAP of DUNLAP, BENNET & LUDWIG PLLC, having an address of
211 Church Street SE Leesburg, Virginia 20175
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703.777.7319

SIGNATURE(S)

Response Signature

Signature: /khardley/ Date: 06/17/2015

Signatory's Name: KEISHA HARDLEY

Signatory's Position: Associate Attorney, Dunlap, Bennett & Ludwig PLLC (MD Bar)

Signatory's Phone Number: 703.777.7319

The signatory has confirmed that he/she is an attorney who is a member in good standing of the bar of the highest court of a U.S. state, which includes the District of Columbia, Puerto Rico, and other federal territories and possessions; and he/she is currently the applicant's attorney or an associate thereof; and to the best of his/her knowledge, if prior to his/her appointment another U.S. attorney or a Canadian attorney/agent not currently associated with his/her company/firm previously represented the applicant in this matter: (1) the applicant has filed or is concurrently filing a signed revocation of or substitute power of attorney with the USPTO; (2) the USPTO has granted the request of the prior representative to withdraw; (3) the applicant has filed a power of attorney appointing him/her in this matter; or (4) the applicant's appointed U.S. attorney or Canadian attorney/agent has filed a power of attorney appointing him/her as an associate attorney in this matter.

Mailing Address: THOMAS DUNLAP

211 Church Street SE
Leesburg, Virginia 20175

Serial Number: 86375674

Internet Transmission Date: Wed Jun 17 10:28:48 EDT 2015

TEAS Stamp: USPTO/ROA-XX.XXX.XX.XX-20150617102848457

263-86375674-530b2ee96e8da8b37b9634035eb

f2b7134d7d60df9f6872c8a4cf6d36c5dd3995-N

/A-N/A-20150617102125911039

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Disciplined Wealth Strategies
Serial No.: 86375674
Filed: December 17, 2014
Trademark Atty: Martha L. Fromm
TradeMark: FACTOR BASED ALPHA

RESPONSE TO DECEMBER 17, 2014 OFFICE ACTION

This Response is filed in reply to the Office Action e-mailed on December 17, 2014. The Applicant respectfully submits the following response. Applicant submits that the above-identified trademark application for FACTOR BASED ALPHA is in condition for allowance to publication.

ADDITIONAL INFORMATION REQUEST

Jensen's Alpha, is a measurable way to determine how much of an investment manager's return is attributable to the skill of the portfolio manager rather than the general market conditions. Alpha can be positive or negative. Positive alpha is the desired result/outcome of the approach used, it is not involved in the investment process or services offered. FACTOR BASED ALPHA analyzes over 300 methods when managing portfolios and attempts to deliver positive alpha in client's investment results. Thus, alpha is a result and not an element in the analysis.

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