

9-13-99

FORM PTO-1595 (Modified)
1-31-92

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

09-20-1999

EET



Attorney Docket
No.: 245-111

101147516

To the Assistant Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies):</p> <p>Steven A. Bove Ralph C. Wileczek Jeanne Gill</p>	<p>2. Name and address of receiving party(ies):</p> <p>The Vanguard Group, Inc. 100 Vanguard Boulevard Malvern, Pennsylvania 19355</p> <p>(A Pennsylvania corporation.)</p>
<p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other:</p> <p>Execution Date: June 7, 1999 (Wileczek & Gill); June 9, 1999 (Bove)</p>	

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

<p>A. Patent Application No.(s):</p> <p><u>09/328,626</u></p>	<p>B. Patent No.(s):</p>
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Additional numbers attached? Yes No

<p>5. Name and address of party to whom correspondence document should be mailed:</p> <p>Clark A. Jablon, Esquire AKIN, GUMP, STRAUSS, HAUER & FELD, L.L.P. One Commerce Square - 2005 Market Street - Suite 2200 Philadelphia, PA 19103 Telephone: (215) 965-1200 Facsimile: (215) 965-1210 E-Mail: cjablon@akingump.com</p>	<p>6. Total number of applications and patents involved: [1]</p> <p>7. Total fee (37 CFR 3.41) Cal. <u>1</u> x \$40.00 = \$ <u>40.00</u></p> <p><input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account</p> <p>8. Deposit account number: <u>50-1017</u> (Billing No. 200245.0111)</p>
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DO NOT USE THIS SPACE

9. Statement and signature
To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

<p><u>Clark A. Jablon</u> Name of Person Signing</p>	<p><u>Clark Jablon</u> Signature</p>	<p><u>September 8, 1999</u> Date</p>
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Total number of pages including cover sheet, attachments and document: [7]

OMB No. 0651-0011 (exp. 4/94)

JOINT

ASSIGNMENT

WHEREAS, we, **Steven A. Bove, Ralph C. Wilczek and Jeanne Gill**, respectively citizens of the United States of America, with respective post office addresses of:

1. 11260 North 92nd Street, No. 1087
Scottsdale, Arizona 85260
2. 2219 E. Huntinton Drive
Wilmington, Delaware 19808
3. 1524 Susan Drive
Lansdale, Pennsylvania 19446

hereinafter generally referred to as "ASSIGNORS," have invented a certain new and useful

SYSTEM AND METHOD FOR AUTOMATING INVESTMENT PLANNING

for which we have executed a United States patent application, Application No. 09/328,626, filed June 9, 1999, and

ASSIGNORS authorize **ASSIGNEE** or **ASSIGNEE's** representative to insert the Application Number and Filing date of this application if they are unknown at the time of execution of this Assignment.

WHEREAS, **The Vanguard Group, Inc.**, a Pennsylvania corporation having a place of business at 199 Vanguard Boulevard, Malvern, Pennsylvania 19355, hereinafter generally referred to as "**ASSIGNEE**", is desirous of acquiring said invention and said patent application.

NOW, THEREFORE, in consideration of the sum of One Dollar and other good and valuable executed consideration, the full receipt and sufficiency of all of which are hereby acknowledged and intending to be legally bound hereby, we, the undersigned **ASSIGNORS**, hereby agree to sell, assign, transfer and convey and by these presents do sell, assign, transfer and convey unto the above-named **ASSIGNEE**, the whole and entire right, title and interest

in and to said invention as described in the above patent application, for the territory of the United States and its possessions and territories and all foreign countries;

in and to the above patent application and any and all related United States and foreign patent applications disclosing said invention, including provisionals, non-provisionals, divisions and continuations thereof, along with all rights of priority created by said patent application under any treaty relating thereto; and

in and to all United States and foreign patents which may be granted on any and all of said patent applications, including extensions, reissues and reexamination certificates thereof;

said invention, application(s) and patent(s) to be held and enjoyed by the above-named ASSIGNEE, for ASSIGNEE's own use and benefit, and for ASSIGNEE's legal representatives and assigns to the full end of the term or terms for which said patent(s) may be granted, as fully and entirely as the same would have been held by the undersigned ASSIGNORS had this assignment and sale not been made; and for the aforesaid consideration ASSIGNORS hereby covenant, agree and undertake to execute, whenever requested by the above-named ASSIGNEE, all patent applications, assignments, lawful oaths and any other papers which ASSIGNEE may deem necessary or desirable for securing to ASSIGNEE or for maintaining for ASSIGNEE all the patent(s) hereby assigned or agreed to be assigned; all without further compensation to the undersigned ASSIGNORS.

(Date)
6/7/99

(Date)
6/7/99

(Date)

Steven A. Bove (Seal)

Ralph C. Wileczek (Seal)

Jeanne Gill (Seal)
Jeanne Gill

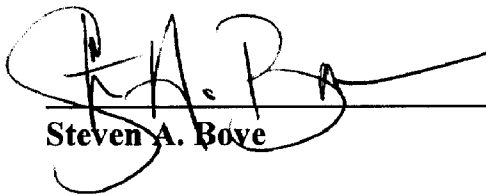
in and to the above patent application and any and all related United States and foreign patent applications disclosing said invention, including provisionals, non-provisionals, divisions and continuations thereof, along with all rights of priority created by said patent application under any treaty relating thereto; and

in and to all United States and foreign patents which may be granted on any and all of said patent applications, including extensions, reissues and reexamination certificates thereof;

said invention, application(s) and patent(s) to be held and enjoyed by the above-named ASSIGNEE, for ASSIGNEE's own use and benefit, and for ASSIGNEE's legal representatives and assigns to the full end of the term or terms for which said patent(s) may be granted, as fully and entirely as the same would have been held by the undersigned ASSIGNORS had this assignment and sale not been made; and for the aforesaid consideration ASSIGNORS hereby covenant, agree and undertake to execute, whenever requested by the above-named ASSIGNEE, all patent applications, assignments, lawful oaths and any other papers which ASSIGNEE may deem necessary or desirable for securing to ASSIGNEE or for maintaining for ASSIGNEE all the patent(s) hereby assigned or agreed to be assigned; all without further compensation to the undersigned ASSIGNORS.

6/9/99

(Date)



Steven A. Boye

(Seal)

(Date)

Ralph C. Wilczek

(Seal)

(Date)

Jeanne Gill

(Seal)

STATE OF _____ :
: SS.
COUNTY OF _____ :

Before me, a notary public in and for the State and County aforesaid, on this ___ day of _____, 1999, personally appeared **Steven A. Bove**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Notary Public

My Commission Expires:

STATE OF Pennsylvania :
: SS.
COUNTY OF Chester :

Before me, a notary public in and for the State and County aforesaid, on this 7th day of June, 1999, personally appeared **Ralph C. Wilczek**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

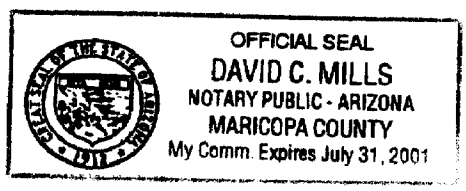
Patricia A. Hogan
Notary Public

My Commission Expires:

Notarial Seal
Patricia A. Hogan, Notary Public
Malvern Boro, Chester County
My Commission Expires Sept. 10, 2001
Member, Pennsylvania Association of Notaries

STATE OF Arizona :
: SS.
COUNTY OF Maricopa :

Before me, a notary public in and for the State and County aforesaid, on this 9 day of June, 1999, personally appeared **Steven A. Bove**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.



[Handwritten Signature]
Notary Public

My Commission Expires: 7/31/2001

STATE OF _____ :
: SS.
COUNTY OF _____ :

Before me, a notary public in and for the State and County aforesaid, on this ___ day of _____, 1999, personally appeared **Ralph C. Wileczek**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Notary Public
My Commission Expires:

