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Docket No. 3635-4000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Stephen J. Hodgdon
Charles W. Kadlec
Group Art Unit: 2761
Serial No. : 09/259,770
Examiner: To be assigned
Filed : March 1, 1999
For : **THE SELIGMAN HARVESTERSM RISK MANAGEMENT SYSTEM FOR
ACHIEVING A RECOMMENDED ASSET ALLOCATION AND WITHDRAWAL
STRATEGY**

RECORDATION FORM COVER SHEET PURSUANT TO 37 C.F.R. § 3.31

Hon. Commissioner of Patents and Trademarks
BOX ASSIGNMENTS
Washington, D.C. 20231

ID No.: 101029421

Sir:

Please record the attached original documents or copy thereof.

1. Name of conveying party/parties:
Stephen J. Hodgdon

Charles W. Kadlec

2. Name and address of receiving party/parties:

Name Stephen J. Hodgdon

Internal Address:

Street Address: 35 West Brother Drive

City Greenwich State Connecticut ZIP 06830

Name Charles W. Kadlec

Internal Address:

Street Address: 8 Woodcroft Road

City Summit State New Jersey ZIP 07901

[] Additional names and addresses attached.

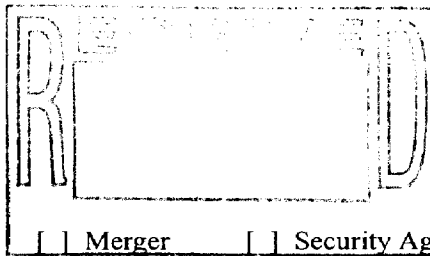
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PATENT
REEL: 010434 FRAME: 0378



Docket No. 3635-4000

3. Name of conveyance: ☒ Assignment ☐ Merger ☐ Security Agreement
☐ Change of Name ☐ Other _____
Execution Date: February 22, 1999

4. Application Number(s) or Patent Number(s):

☐ This document is being filed together with a new application which was executed on _____.

☐ Patent Application No.(s) _____.

☐ Patent No.(s) _____.

5. Address all future communications to:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154

6. Total number of applications and patents involved: _____.

7. Total fee (37 CFR §3.41): \$40.00 property x _____ property(ies) = \$ _____.

☐ A check in the amount of \$ _____ to cover the recordation fee is enclosed.

☐ Charge fee to Deposit Account No. 13-4500. Order No. _____.

☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this recordation, or credit any overpayment to Deposit Account No. 13-4500. Order No. 3635-4000.

8. 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.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

By: Tony V. Pezzano
Tony V. Pezzano
Registration No. 38,271

Dated: June 23, 1999

CORRESPONDENCE ADDRESS:

Total number of pages including the recordation cover sheet 2

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154
(212) 758-4800
(212) 751-6849 Facsimile

FORM: REC-PAT.NY
Rev. 05/26/98

ASSIGNMENT OF APPLICATION FOR PATENT

WHEREAS:

Stephen J. Hodgdon 35 West Brother Drive, Greenwich, Connecticut 06830

Charles W. Kadlec 8 Woodcroft Road, Summit, New Jersey 07901

(full name(s) and post office address(s) of inventor(s) (including country))

(hereinafter referred to as ASSIGNOR(S)), has made a discovery or invention entitled:

THE SELIGMAN HARVESTERSM RISK MANAGEMENT SYSTEM FOR ACHIEVING A RECOMMENDED
ASSET ALLOCATION AND WITHDRAWAL STRATEGY

(title of discovery or invention)

[X] for which application for Letters Patent of the United States has been executed on even date herewith,

[] for which application for Letters Patent of the United States has been filed on _____, under Serial No.
_____, and

WHEREAS:

Seligman Advisors, Inc., 100 Park Avenue, New York, New York 10017

(name and address of assignee)

(hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire interest in, to and under said invention and in, to and under Letters Patent or similar legal protection to be obtained therefor in the United States and in any and all foreign countries.

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN:

Be it known that in consideration of the payment by ASSIGNEE to ASSIGNOR(S) of the sum of one Dollar (\$ 1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration, ASSIGNOR(S) hereby sells, assigns and transfers to ASSIGNEE, its successors, legal representatives and assigns, the full and exclusive right, title and interest to said discovery or invention in the United States and its territorial possessions and in all foreign countries and to all Letters Patent or similar legal protection in the United States and its territorial possessions and in any and all foreign countries to be obtained for said invention by said application or any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in a foreign country for the full term or terms for which the same may be granted.

I, SAID ASSIGNOR(S), hereby authorize and request the Commissioner of Patents and Trademarks of the United States of America and any Official of any country or countries foreign to the United States of America whose duty it is to issue Letters Patent on applications as aforesaid, to issue all such Letters Patent for said discovery or invention to the ASSIGNEE, as assignee of the entire right, title and interest in, to and under the same, for the sole use and

Assignor's signature: _____

First Name

Middle initial

Last name

Citizenship: United StatesIN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 2nd day of February, 1999.STATE OF New York)
ss.:
COUNTY OF New York)On this 2nd day of February, 1999, before me, the undersigned authority, personally appeared

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Janice Carter
Notary Public**JANICE CARTER**
Notary Public, State of New York
No. 31-494648
Qualified in New York County
Certificate Filed in Kings County
Commission Expires November 28, 2000

Assignor's signature: _____

First Name

Middle initial

Last name

Citizenship: _____

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this _____ day of _____, 19__.

STATE OF _____)
ss.:
COUNTY OF _____)

On this _____ day of _____, 19__, before me, the undersigned authority, personally appeared

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Notary PublicFORM: ASSIGN. PAT
Rev. 05/26/98