MRD 6.28.99 12-16-1999



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Oocket No. 3635-4000

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s)

Stephen J. Hodgdon

Charles W. Kadlec

Group Art Unit: 2761

Examiner:

To be assigned

Serial No.

09/259,770

Filed

March 1, 1999

For

THE SELIGMAN HARVESTER<sup>SM</sup> 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:

Charles W. Kadlec				
Name and address of receiving pa	rty/parties:	-		
Name Stephen J. Hodgdon				
nternal Address:				j
Street Address: 35 West Broth	er Drive			
City Greenwich	State	Connecticut	ZIP	06830
Name Charles W. Kadlec				

Additional names and addresses attached.

[ ] Additional nam 06/30/1999 DNGUYEN 0000035-134500 09259770

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3.	Name of	f conveyance:	[ X ] Assignment [ ] Change of Name Execution Date:		Merger Other ry 22, 1999	[] Seco			
4.	Applica	tion Number(s)	or Patent Number(s):						
	[ ] Thi	s document is b	eing filed together with	a new a	pplication wh	ich was e	executed	on	<del>.</del>
	[] Pate	ent Application	No.(s)					<del>- w.</del>	<del>·</del>
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5.	Address all future communications to:								
			345	Park A	EGAN, L.L.P venue 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 re	ecordation	n fee is e	nclosed.	
	[ ]	Charge fee to	Deposit Account No. 13	3-4500.	Order No		_·		
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8.			owledge and belief, the f the original document		ng information	is true a	nd correc	ct and any at	tached
					Respectfully	submitte	d,		
					MORGAN &	& FINNE	GAN, L.	L.P.	
Dated:	June 23	3, 1999			By:	Tony Vation No.	V. Pezza 38,2	10 71	
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## 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 HARVESTER $^{\text{SM}}$ 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 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					

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behalf of the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

I, SAID, ASSIGNOR(S), hereby covenant that I have full right to convey the entire right, title and interest herein sold, assigned, transferred and set over;

AND I, SAID ASSIGNOR(S) hereby further covenant and agree that the ASSIGNEE, its successors, legal representatives, or assigns, may apply for foreign Letters Patent on said discovery or invention and claim the benefits of the International Convention, and that I will, at any time, when called upon to do so by the ASSIGNEE, its successors, legal representatives, or assigns, communicate to the ASSIGNEE, its successors, legal representatives, or assigns, as the case may be, any facts known to me respecting said discover or invention, and execute and deliver and all lawful papers that may be necessary or desireable to perfect the title to the said discovery or invention, the said applications and the said Letters Patent in the ASSIGNEE, its successors, legal representatives and assigns, and that it reissues of the said Letters Patent or disclaimers relating thereto, or divisions, continuations, or refilings of the said applications, or any thereof, shall hereafter be desired by the ASSIGNEE, its successors, legal representatives, or assigns, sign all lawful papers, make all rightful oaths, execute and deliver all such disclaimers and all divisional, continuation and reissue applications so desired, and do all lawful acts requisite for the application for such reissues and the procuring thereof and for the filing of such disclaimers and such applications, and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said invention or discover in all countries, and without further compensation but at the expense of the ASSIGNEE, its successors, legal representatives and assigns.

Assignor's signature:
First Name Middle initial Last name
Citizenship: United States
IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this <u>And</u> day of <u>Johnson</u> .
STATE OF THE YOLK)  SS.:  COUNTY OF NEW YOLK)
COUNTY OF THE SS.:
On this 2nd day of Livry, 1995, 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, an 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 Public, State of New York
No. 31-4944648
Qualified in New York County
Certificate Filed in Kings County
Commission Expires November 28, 200

Docket No.: 3635-4000

A		Kaldi:	
Assignor's sig	First Name	Middle initial	Last name
Citizenship:	United States		
IN WITNESS 19 <u>91</u> .	S WHEREOF, I have hereunto	set my hand and affixed my sea	I this Band day of Herwary,
STATE OF COUNTY OF	lew York)		
COUNTY OF	= Hew York)		
On this 22ml	day of Alrury, 1	99, before me, the undersigned	authority, personally appeared
and who duly purposed there	acknowledged to me that he		who executed the foregoing Assignment, luntary act and deed for the uses and
Notary Public	- ( <i>(())</i> ( <i>()</i> () () () () () () () () () () () () ()	Certificate Filed in Kings County mmission Expires November 28, 300	<u>20</u>
Assignor's sig	gnature:First Name	Middle initial	Last name
Citizenship:			
IN WITNESS 19	WHEREOF, I have hereunto	set my hand and affixed my seal	I this,
STATE OF	)		
COUNTY OF	ss.: )		
On this	day of, 19	9, before me, the undersigned a	authority, personally appeared
	acknowledged to me that he		who executed the foregoing Assignment, untary act and deed for the uses and
Notary Public			
FORM: ASSIGN:	. PAT		

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**RECORDED: 06/28/1999** 

Rev. 05/26/98