

12-19-2000



FORM PTO-1595 (Rev. 6-93) OMB No. 0451-0011 (exp. 4/94)

SHEET

U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office

101556203

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

1. Name of conveying parties William Fitzpatrick, John Furlong, Robert Maurer, David Hummelberg, and Brian Martone Additional name(s) & party(ies) attached? [ ] Yes [x] No

2. Name and address of receiving party(ies): Name: PaineWebber Incorporated Internal Address: Street Address: 1200 Harbor Boulevard City: Weehawken State: NJ Zip: 07087 Additional name(s) & address(es) attached? [ ] Yes [x] No

3. Nature of conveyance: [x] Assignment [ ] Merger [ ] Security Agreement [ ] Change of Name [ ] Other Execution Date: October 24, 2000

4. Application number(s) or patent number(s): 91712358 If this document is being filed together with a new application the execution date of the application is: November 14, 2000 A. Patent Application No.(s) B. Patent No.(s) Additional numbers attached? [ ] Yes [x] No

5. Name and address of party to whom correspondence concerning document should be mailed: Name: Leslie Gladstone Restaino Internal Address: Riker, Danzig, Scherer, Hyland & Perretti LLP Street Address: Headquarters Plaza One Speedwell Avenue City: Morristown State: NJ Zip: 07962

6. Total number of applications and patents involved: 1 7. Total fee (37 CFR 3.41) .....\$ 40.00 [ ] Enclosed [x] Authorized to be charged to deposit account 8. Deposit account number: 50-0444

12/20/2000 NTHAI1 00000018 500444 09712358 DO NOT USE THIS SPACE

01 FC:501 Statement of the Signatory: 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. Leslie Gladstone Restaino Signature Date: November 14, 2000 Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to: Commissioner of Patents and Trademarks, Box Assignments Washington, D.C. 20231

PATENT REEL: 011338 FRAME: 0698

ASSIGNMENT

Assignment before issue of Letters Patent

Docket No. 4034-32

WHEREAS, we, William Fitzpatrick, a resident of Howell, County of Monmouth, State of New Jersey; John Furlong, resident of Plandome, County of Nassau, State of New York; Robert Mauer, a resident of Levittown, County of Nassau, State of New York; David Hummelberg, a resident of Basking Ridge, County of Somerset, State of New Jersey; Brian Martone, a resident of Hoboken, County of Hudson, State of New Jersey

(hereinafter "Assignor") have invented certain new and useful improvements in

**BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM**

(hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF THE UNITED STATES, which application has been duly executed by Assignor on the day(s) and date(s) of these presents.

AND WHEREAS, PAINWEBBER INCORPORATED, a corporation organized and existing under the laws of the State of Delaware, U.S.A., having a place of business at 1200 Harbor Boulevard, Weehawken, New Jersey, U.S.A., hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within the United States of America and its territorial possessions and all foreign countries and any United States or foreign LETTERS PATENT that may be granted therefor.

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said Assignee the entire right, title and interest in and to the said invention, within the United States of America and its territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues, continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by treaty, including any international convention, for the protection of industrial property, together with the right to extend the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining, sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly in cases of interference, conflict, opposition and litigation.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of October, 2000  
*William Fitzpatrick*  
William Fitzpatrick

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of October, 2000  
*John C. Furlong*  
John Furlong

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of October, 2000  
*Robert H. Mauer*  
Robert Mauer

STATE OF New Jersey )  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

William Fitzpatrick

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Clara L. Navarrete

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 15, 2004

My commission expires:

STATE OF New Jersey )  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

John Furlong

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Clara L. Navarrete

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A Notary Public of New Jersey  
My Commission Expires June 15, 2004

My commission expires:

STATE OF New Jersey )  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

Robert Mauer

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Clara L. Navarrete

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A Notary Public of New Jersey  
My Commission Expires June 15, 2004

My commission expires:

**Assignment**

**William Fitzpatrick, John Furlong,  
Robert Mauer, David Hummelberg,  
and Brian Martone**

**TO  
PAINWEBBER INCORPORATED**

**INVENTION:  
BROWSER INTERFACE AND  
NETWORK BASED FINANCIAL  
SERVICE SYSTEM**

**Docket No.: 4034-32**

**PaineWebber Incorporated  
1200 Harbor Boulevard  
Weehawken, New Jersey 07087**

ASSIGNMENT

Assignment before issue of Letters Patent

Docket No. 4034-32

WHEREAS, we, William Fitzpatrick, a resident of Howell, County of Monmouth, State of New Jersey; John Furlong resident of Plandome, County of Nassau, State of New York; Robert Mauer, a resident of Levittown, County of Nassau, State of New York; David Hummelberg, a resident of Basking Ridge, County of Somerset, State of New Jersey; Brian Martone, a resident of Hoboken, County of Hudson, State of New Jersey

(hereinafter "Assignor") have invented certain new and useful improvements in

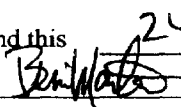
**BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM**

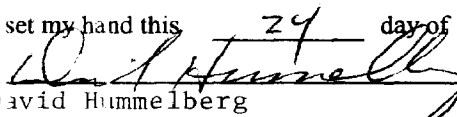
(hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF THE UNITED STATES, which application has been duly executed by Assignor on the day(s) and date(s) of these presents.

AND WHEREAS, PAINEWEBBER INCORPORATED, a corporation organized and existing under the laws of the State of Delaware, U.S.A., having a place of business at 1200 Harbor Boulevard, Weehawken, New Jersey, U.S.A., hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within the United States of America and its territorial possessions and all foreign countries and any United States or foreign LETTERS PATENT that may be granted therefor.

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said Assignee the entire right, title and interest in and to the said invention, within the United States of America and its territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues, continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by treaty, including any international convention, for the protection of industrial property, together with the right to extend the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining, sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly in cases of interference, conflict, opposition and litigation.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of October, 2000  
  
Brian Martone

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of October, 2000  
  
David Hummelberg

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

STATE OF New Jersey )  
 ) ss.:  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

Brian Martone

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

*Clara L. Navarrete*

**CLARA L. NAVARRETE**  
**A Notary Public of New Jersey**  
**My Commission Expires June 15, 2004**

My commission expires:

STATE OF New Jersey )  
 ) ss.:  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

David Hummelberg

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

*Clara L. Navarrete*

**CLARA L. NAVARRETE**  
**A Notary Public of New Jersey**  
**My Commission Expires June 15, 2004**  
Notary Public

My commission expires:

STATE OF \_\_\_\_\_ )  
 ) ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ before me personally appeared

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Notary Public

My commission expires:

**Assignment**

**William Fitzpatrick, John Furlong,  
Robert Mauer, David Hummelberg,  
and Brian Martone**

**TO  
PAINWEBBER INCORPORATED**

**INVENTION:**

**BROWSER INTERFACE AND  
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1200 Harbor Boulevard  
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**PATENT**