

01-30-2001



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**Conveying Party(ies)**☐ Mark if additional names of conveying parties attached

Name (line 1) Louis S. Harvey

 Execution Date  
 Month Day Year  
 01 09 2001
Name (line 2) **Second Party**Name (line 1) 
 Execution Date  
 Month Day Year  

Name (line 2) **Receiving Party**☐ Mark if additional names of receiving parties attached

Name (line 1) Dalbar, Inc.

Name (line 2) 

Address (line 1) 600 Atlantic Avenue

Address (line 2) 

Address (line 3) Boston

Massachusetts

02210

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name Address (line 1) Address (line 2) Address (line 3) Address (line 4) **FOR OFFICE USE ONLY**

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**PATENT**  
**REEL: 011458 FRAME: 0806**

**Correspondent Name and Address**

Area Code and Telephone Number

(312) 715-1000

Name Binal J. Patel

Address (line 1) Banner & Witcoff, Ltd.

Address (line 2) Ten South Wacker Drive

Address (line 3) Suite 3000

Address (line 4) Chicago, Illinois 60606

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments

# 9

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached.

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)**

**Patent Number(s)**

09/565,274

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number only if a U.S. Application Number as not been assigned.

PCT           

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**Number of Properties**

Enter the total number of properties involved.

# 1

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 40.00

Method of Payment:

Enclosed ☐

Deposit Account ☒

**Deposit Account**

Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# 19-0733

Authorization to charge additional fees:

Yes ☒

No ☐

**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. Charges to deposit account are authorized, as indicated herein.

Binal J. Patel

Name of Person Signing

  
Signature

01-11-01

Date

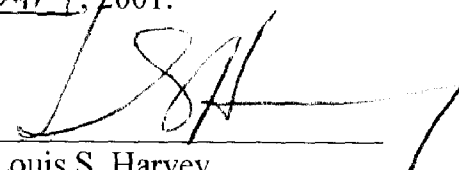
## ASSIGNMENT

WHEREAS, I, Louis S. Harvey, (hereinafter referred to as ASSIGNOR), having a post office address of 465 King Street, Cohasset, MA 02025, am one of four inventors of an invention entitled "ADVISOR REFERRAL TOOL," as described and claimed in the specification forming part of an application for United States letters patent as filed on May 4, 2000, and assigned Serial No. 09/565,274;

WHEREAS, Dalbar, Inc., (hereinafter referred to as ASSIGNEE), a corporation of the State of Massachusetts having a place of business at 600 Atlantic Avenue, Boston, MA 02210 is desirous of acquiring the entire right, title and interest in and to the invention and in and to any letters patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sells, assigns and transfers unto said ASSIGNEE, the entire right, title and interest in and to said invention, said application and any and all letters patent which may be granted for said invention in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from said United States application to which said foreign applications are entitled by virtue of international convention, treaty or otherwise, said invention, application and all letters patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNOR had this assignment, transfer and sale not been made. ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue all letters patent on said invention to ASSIGNEE. ASSIGNOR agrees to execute all instruments and documents required for the making and prosecution of applications for United States and foreign letters patent on said invention, for litigation regarding said letters patent, or for the purpose of protecting title to said invention or letters patent therefore.

WITNESS my hand and seal this 9 day of JANUARY, 2001.

  
Louis S. Harvey

State of MASSACHUSETTS

County of Suffolk

The foregoing instrument was acknowledged before me this 9<sup>th</sup> day of

JANUARY, 2001 by

  
NOTARY PUBLIC

