

Docket No.: N24-004

FORM PTO-1596 (Modified)
(Rev. 8-99)
OMB No. 0651-0011 (exp. 4/94)
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P08A/REV02

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

PATENTS ONLY

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

1. Name of conveying party(ies):

James P. O'SHAUGHNESSY
Gregory L. COWIN
Stephen M. DOWNEY
Gregory MCINTIRE

2. Name and address of receiving party(ies):

Name: Netfolio, Inc.Address: 733 Third Avenue, Tenth Floor

Additional names(s) of conveying party(ies)

☒ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

City: New York State/Prov.: NYCountry: USA ZIP: 10017

Additional name(s) & address(es)

☐ Yes ☒ NoExecution Date: April 11, 2001, and April 20, 2001

4. Application number(s) or registration numbers(s):

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

Patent Application No. _____ Filing date _____

B. Patent No.(s) _____

09/624,330

Additional numbers

☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Elman & AssociatesRegistration No. 24,404Address: 20 West Third Street, PO Box 1969City: Media State/Prov.: PACountry: USA ZIP: 19063-89696. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41):.....\$ 40.00☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☒ Authorized to be charged to deposit account

8. Deposit account number:

05-0845

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.

Gerry J. Elman

Name of Person Signing

Signature

June 4, 2001

Date

Total number of pages including cover sheet, attachments, and

7
PATENT

ASSIGNMENT OF WORLDWIDE RIGHT, TITLE AND INTEREST

WHEREAS,

James P. O'Shaughnessy
a resident of Cos Cob, Connecticut, United States of America
whose postal address is
733 Third Avenue, Tenth Floor
New York, New York 10017, United States of America

and

Gregory L. Cowin
a resident of Turnbull, Connecticut, United States of America
whose postal address is
733 Third Avenue, Tenth Floor
New York, New York 10017, United States of America

and

Stephen M. Downey
a resident of Bablyon, New York, United States of America
whose postal address is
733 Third Avenue, Tenth Floor
New York, New York 10017, United States of America

and

Gregory L. McIntire
a resident of Stamford, Connecticut, United States of America
whose postal address is
733 Third Avenue, Tenth Floor
New York, New York 10017, United States of America

have jointly and along with another invented an invention comprising new and useful improvements in a

SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCKS VIA A GLOBAL COMPUTER NETWORK

that is described in an application for United States Letters Patent that was filed in the United States Patent and Trademark Office on July 24, 2000, Application No. 09/624,330;

and

that is described in International Patent Application No. PCT/US00/20130 filed July 24, 2000, in accordance with the Patent Cooperation Treaty;

and

that has been given European Patent Application no. 00947615.1;

Initials of Undersigned Inventors:
JPOS { [Signature] }; GLC { [Signature] }; SMD { [Signature] }; GLM { [Signature] }

Notary Public { [Signature] }

*Assignment**U.S. Patent Application 09/624,330**International Patent Application No. PCT/US00/20130**European Patent Application No. 00947615.1*

WHEREAS,

Netfolio, Inc.
A Minnesota Corporation
whose postal address is
733 Third Avenue, Tenth Floor
New York, New York 10017
United States of America

(hereinafter referred to as the "Assignee"), is desirous of acquiring the entire right, title, and interest in and to said Invention, and in and to any Letters Patent that may be granted therefor;

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and of other good and valuable considerations, receipt of which is hereby acknowledged by us, We, intending to be legally bound, do hereby acknowledge that We have sold, assigned, and transferred to the Assignee and Assignee's legal representatives our entire right, title and interest together with all rights of priority, in said Invention, as described and/or claimed in said application for United States patent and any and all applications for Letters Patent, in any country or jurisdiction, based in whole or in part thereon, including divisions, continuations and continuations-in-part thereof as well as all foreign counterparts and all applications containing disclosure in common therewith, together with all Letters Patent in any country or jurisdiction arising from any of the aforesaid applications, as well as any and all reissues and reexaminations thereof, the same to be held and enjoyed by Assignee, its successors and assigns, to the full ends of the terms of all said Letters Patent therefor which may be granted.

We hereby authorize and request the Patent Office officials in the United States and all foreign countries or jurisdictions to issue any and all of said Letters Patent, when granted, to Assignee, as the Assignee of our entire right, title and interest in and to the same, for the sole use and behoof of Assignee, its successors and assigns. We hereby authorize the Assignee to make application for and to receive Letters Patent for said invention in any countries or jurisdictions in its own name, or in our joint names, at its election.

Further, We each hereby agree to communicate to Assignee, or its representatives, any facts known to each of us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, continuation-in-part, substitution, renewal, reissue and related United States and foreign applications and declarations relating thereto, execute all necessary claims of priority and assignment papers to cause any and all of said Letters Patent to be issued to said Assignee, make all rightful oaths, and generally to do everything possible to aid Assignee, its successors and assigns, to obtain and enforce protection for said invention in the United States and in any and all foreign countries or jurisdictions. The rights and property herein conveyed by us are free and clear of any encumbrances.

To facilitate the completion in our absence of formal papers referred to in the preceding paragraph, We each hereby grant a special power of attorney to an authorized officer of Assignee, or its successor-in-interest limited specifically to the authorization to sign any true and lawful document relating to any such international or foreign patent application in the capacity of attorney-in-fact for us.

Initial here: Undersigned Inventors:
JPOS {*JPOS*}; GLC {*GLC*}; SMD {*SMD*}; GLM {*GLM*}

Notary Public {*[Signature]*}

Assignment

U.S. Patent Application 09/624,330

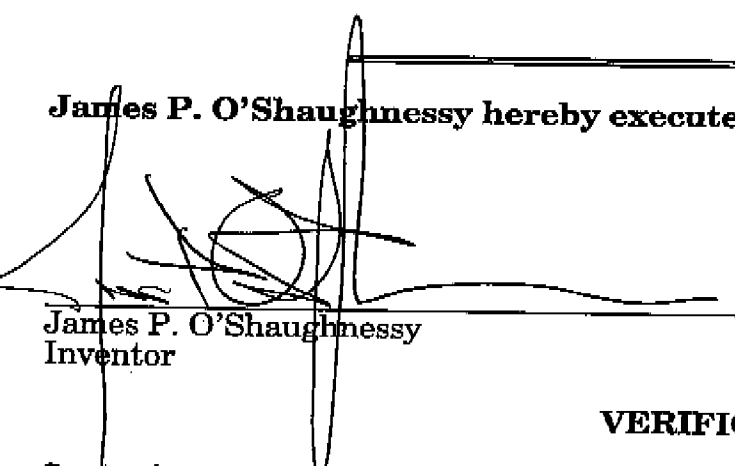
International Patent Application No. PCT/US00/20130

European Patent Application No. 00947615.1

We each hereby authorize Gerry J. Elman, Registration No. 24,404 of the firm Elman & Associates, to correct errors in this Assignment document and to insert any further identification or information necessary or desirable to make this Assignment recordable in the United States Patent and Trademark Office, or elsewhere.

If any provision of this document should be found invalid or unenforceable under relevant law, such provision shall be deemed excluded and redacted herefrom, and the validity and enforceability of the remaining provisions shall not be affected thereby.

James P. O'Shaughnessy hereby executes, grants and delivers the assignment:


James P. O'Shaughnessy
Inventor

Date 4/11/01**VERIFICATION**

State of New York:

ss.

County of _____:

I, a notary public duly commissioned and qualified by the State of York, United States of America, do hereby certify that on the 11th day of April, 2001, before me personally appeared **James P O'Shaughnessy**, to me personally known or duly proven to be the individual whose name is subscribed to the foregoing instrument, who, being affirmed, did depose and say that he executed the foregoing instrument of his own free will intending to be legally bound according to its terms.


(Notary Public)

{Seal}

JOSEPH F. CONWAY
Notary Public, State of New York
No. 01CO6053174
Qualified in Columbia County
Commission Expires Jan. 2, 2003

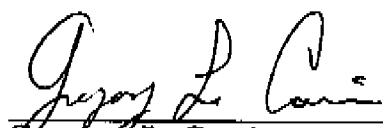
Assignment

U.S. Patent Application 09/624,330

International Patent Application No. PCT/US00/20130

European Patent Application No. 00947615.1

Gregory L. Cowin hereby executes, grants and delivers the assignment:



Gregory L. Cowin
Inventor

Date Apr 1 20, 2001

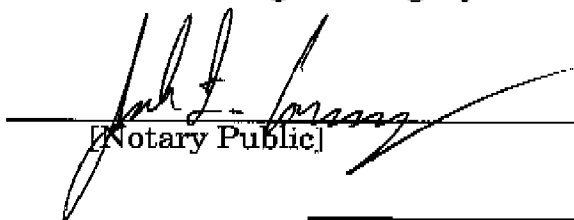
VERIFICATION

State of New York:

ss.

County of _____:

I, a notary public duly commissioned and qualified by the State of York, United States of America, do hereby certify that on the _____ day of April, 2001, before me personally appeared **Gregory L. Cowin**, to me personally known or duly proven to be the individual whose name is subscribed to the foregoing instrument, who, being affirmed, did depose and say that he executed the foregoing instrument of his own free will intending to be legally bound according to its terms.



{Seal}

JOSEPH F. CONWAY
Notary Public, State of New York
No. 01CO6053174

~~Qualified in Columbia County~~
Commission Expires Jan. 2, 2003

Stephen M. Downey hereby executes, grants and delivers the assignment:



Stephen M. Downey
Inventor

Date 4/11/01

Assignment

U.S. Patent Application 09/624,330

International Patent Application No. PCT/US00/20130

European Patent Application No. 00947615.1

VERIFICATION

State of New York:

County of _____:

ss.

I, a notary public duly commissioned and qualified by the State of York, United States of America, do hereby certify that on the 11th day of April, 2001, before me personally appeared **Stephen M. Downey**, to me personally known or duly proven to be the individual whose name is subscribed to the foregoing instrument, who, being affirmed, did depose and say that he executed the foregoing instrument of his own free will intending to be legally bound according to its terms.

[Notary Public]

{Seal} JOSEPH F. CONWAY
Notary Public, State of New York
No. 01CO6053174
Qualified in Columbia County
Commission Expires Jan. 2, 2003

Gregory L. McIntire hereby executes, grants and delivers the assignment:

Gregory L. McIntire
Gregory L. McIntire
Inventor

Date 4/11/2001

VERIFICATION

State of New York:

County of _____:

ss.

I, a notary public duly commissioned and qualified by the State of York, United States of America, do hereby certify that on the 11th day of April, 2001, before me personally appeared **Gregory L. McIntire**, to me personally known or duly proven to be the individual whose name is subscribed to the foregoing instrument, who, being affirmed, did depose and say that he executed the foregoing instrument of his own free will intending to be legally bound according to its terms.

[Notary Public]

{Seal}

JOSEPH F. CONWAY
Notary Public, State of New York
No. 01CO6053174
Qualified in Columbia County
Commission Expires Jan. 2, 2003

*Assignment**U.S. Patent Application 09/624,330**International Patent Application No. PCT/US00/20130**European Patent Application No. 00947615.1*

Netfolio, Inc. hereby accepts the foregoing assignment:

For: Netfolio, Inc.

{L.S.}

James P. O'Shaughnessy
Chairman and CEO

Date 4-11-01

VERIFICATION

State of New York:

ss.

County of _____:

I, a notary public duly commissioned and qualified by the State of New York, United States of America, do hereby certify that on the 11th day of April, 2001, before us personally appeared **James P. O'Shaughnessy**, to us personally known or duly proven to be the individual whose name is subscribed to the foregoing instrument, who, being affirmed, did acknowledge himself/herself to be the Chairman and CEO of Netfolio, Inc., and that he/she, as such Chairman and CEO, being authorized to do so, executed the foregoing instrument for the purposes therein contained, by signing the name of the corporation by himself/herself as Chairman and CEO.

[Notary Public]

{Seal}

JOSEPH F. CONWAY
Notary Public, State of New York
No. 01CO6053174
Qualified in Columbia County
Commission Expires Jan. 2, 2003