

MAD
03/23/01

04-03-2001

Substitute Form PTO-1595
Attorney Docket No.: 11657-003001

REC



IT

101656215

11011 U.S. PTO
09/015589
03/23/01

Assistant Commissioner for Patents: Please record the attached original document(s) or copy(ies).	
1. Name of conveying party(ies): Gary L. Gastineau and Clifford Weber Additional name(s) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies): The American Stock Exchange, LLC 86 Trinity Place New York, NY 10006-1872 Additional names/addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: 3/17/00; 3/20/00	
4. Application number(s) or patent number(s): If this document is being filed with a new application, the execution date of the application is: 3/16/00; 3/17/00 A. Patent Application No(s).: B: Patent No(s): 09815 589 Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Name/address of party to whom correspondence concerning document should be mailed: DENIS G. MALONEY Fish & Richardson P.C. 225 Franklin Street Boston, MA 02110-2804	6. Total number of applications/patents involved: 1 7. Total fee (37 CFR §3.41): \$40 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to charge Deposit Account. 8. Deposit Account No.: 06-1050 Please apply any additional charges, or any credits, to our Deposit Account No. 06-1050.
DO NOT USE THIS SPACE	
9. Statement and Signature: <i>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.</i> Denis G. Maloney Reg. No. 29,670 Name of Person Signing Signature: <i>Denis G. Maloney</i> Date: 3/27/2000	
Total number of pages including coversheet, attachments and document: 4	

20042726.doc

CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Label No. EL228033256

I hereby certify under 37 CFR §1.10 that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee with sufficient postage on the date indicated below and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

March 27, 2000
Date of Deposit

Signature

Samantha Bell
Typed Name of Person Signing Certificate

PATENT
REEL: 011632 FRAME: 0769

ASSIGNMENT

For valuable consideration, we, Gary L. Gastineau, of Short Hills, New Jersey, Clifford Weber, of Denville, New Jersey, hereby assign to The American Stock Exchange, LLC, a Delaware corporation having a place of business at: 86 Trinity Place, New York, NY 10006-1872, and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us this day, entitled HEDGING EXCHANGE TRADED MUTUAL FUNDS OR OTHER PORTFOLIO BASKET PRODUCTS, filed _____, and assigned U.S. Serial Number _____, and we authorize and request the attorneys appointed in said application to hereafter complete this assignment by inserting above the filing date and serial number of said application when known: this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
 this 17th day of March, 2000
Gary L. Gastineau L.S.
 Gary L. Gastineau

State of NEW YORK :
 : SS.
 County of NEW YORK :

Before me this 17th day of March, 2000, personally
 appeared Gary L. Gastineau known to me to be the person whose name is subscribed to the
 foregoing Assignment and acknowledged that he executed the same as his free act and deed for
 the purposes therein contained.

GERALDINE BRINDISI
 Notary Public, State of New York
 No. 24-4628670
 Qualified in Nassau County
 Commission Expires

Geraldine Brindisi
 Notary Public
 My Commission Expires: 12/21/2000

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
 this 20th day of March, 2000
Clifford Weber L.S.
 Clifford Weber

State of NEW YORK :
 : SS.
 County of NEW YORK :

Before me this 20th day of March, 2000, personally
 appeared Clifford Weber known to me to be the person whose name is subscribed to the
 foregoing Assignment and acknowledged that he executed the same as his free act and deed for
 the purposes therein contained.

GERALDINE BRINDISI
Notary Public, State of New York
No. 24-4628670
Qualified in Nassau County
Commission Expires 12/31/2000

Geraldine Brindisi
Notary Public

My Commission Expires: 12/31/2000

[Notary's Seal Here]

20029199.doc