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PATENTS ONLY

Form PTO-1592 (modified)

05250.00002

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

## 1. Name of Conveying Party or Parties:

Murali Ramaswami

James J. Hosker

Additional Names of conveying party or parties attached?

☐ Yes ☒ No

## 2. Name and address of receiving party or parties:

Lehman Brothers

3 World Financial Center

10th Floor

New York, NY

## 3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: April 10, 2001

Additional Name(s) and address(es) attached? ☐ Yes ☒ No

## 4. Application Number(s) or Patent Number(s):

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

## A. Patent Application Number(s):

09/711,124

Additional Name(s) and address(es) attached? ☐ Yes ☒ No

## B. Patent Number(s):

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

Pamela I. Banner

Banner &amp; Witcoff, Ltd.

1001 G Street, N.W., Suite 1100

Washington, D.C. 20001-4597

## 6. Total Number of Applications and patents involved:

## 7. Total fee (37 CFR 3.41) ..... \$ 40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account\*  
☒ Please charge or credit our deposit account for any additional or refunded fees associated with recording this assignment

## 8. Deposit Account No.:

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## 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.

Pamela I. Banner, Reg. No. 33,644

Name of Person Signing

Signature

*Pamela I. Banner*  
 3 #38900

Date

April 24, 2001

Total Number of Pages including Cover Sheet: 2

PATENT  
 REEL: 011749 FRAME: 0578

## ASSIGNMENT

WHEREAS, we, Murali Ramaswami, citizen of the United States, residing at 12 River Knoll Road, Westport, CT 06880, and James J. Hosker, citizen of the United States, residing at 235 West 48th Street, Apt. 16C, New York, NY 10036, have invented certain new and useful improvements in "METHODS AND SYSTEMS FOR ANALYZING AND PREDICTING MARKET WINNERS AND LOSERS" for which an application for Letters Patent of the United States was filed on November 10, 2000, and accorded U.S. Serial No. 09/711,124; and

WHEREAS, Lehman Brothers, a corporation duly organized under the laws of the State of New York having a place of business in New York, New York, is desirous of acquiring the entire right, title and interest in and to the aforesaid invention and in and to any Letters Patent of the United States or any foreign country which may be granted therefor;

NOW THEREFORE, for good and valuable consideration, we, Murali Ramaswami and James J. Hosker, by these presents do sell, assign, and transfer unto the Lehman Brothers and its successors, legal representatives and assigns, the full right to the said invention as described in the said application, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States and its territorial possessions and in any and all foreign countries and in and to any and all divisions, reissues, continuations and extensions thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks or any other proper officer or agency of any country to issue all said Letters Patent to said assignee;

AND WE HEREBY warrant and covenant that we have full right to convey the entire interest herein assigned and that we have not executed and will not execute any instrument or assignment in conflict herewith;

AND WE HEREBY agree to communicate to said assignee or its representatives any facts known to us respecting said invention, to execute all divisional, continuation, reissue and foreign applications, sign all lawful documents and make all rightful oaths relating to said invention, and to testify in any judicial or administrative proceeding and generally do everything possible to aid the said assignee to obtain and enforce said Letters Patent in the United States or any foreign country when requested so to do by said assignee.

IN WITNESS WHEREOF, we have hereunto set our hand and seal.

Date: 4/10/2001 Inventor: M. Ramaswami  
Murali Ramaswami

Date: 4/10/2001 Inventor: James J. Hosker  
James J. Hosker

STATE OF New York )  
COUNTY OF New York ) ss  
)

On this 10<sup>th</sup> day of April, 2001, before me a Notary Public in and for the County and State aforesaid, personally appeared Murali Ramaswami and James J. Hosker to me known and known to me to be the persons of those names, who signed and sealed the foregoing instrument, and acknowledged the same to be their free act and deed.

(SEAL)

Kelley A. Wilkins  
Notary Public

My Commission Expires: \_\_\_\_\_

**KELLEY A. WILKINS**  
Notary Public, State of New York  
No. 31-4956837  
Qualified in New York County  
Commission Expires October 26, 2001  
**PATENT** 12001