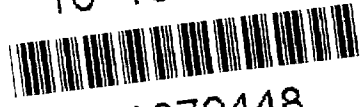


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**Conveying Party(ies)**

Mark if additional names of conveying parties attached

Execution Date  
Month Day Year

Name (line 1) Stuart

9/26/01

Name (line 2) Sands

**Second Party**

Name (line 1) Stephen B.

Execution Date  
Month Day Year  
9/26/01

Name (line 2) Ward

**Receiving Party**

Mark if additional names of receiving parties attached

Name (line 1) Charles Schwab & Co., Inc.

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.)

Name (line 2) 101 Montgomery Street

Address (line 1) \_\_\_\_\_

Address (line 2) \_\_\_\_\_

Address (line 3) San Francisco CA 94104

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name \_\_\_\_\_

Address (line 1) \_\_\_\_\_

Address (line 2) \_\_\_\_\_

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

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<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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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 has not been assigned.

PCT  PCT  PCT

PCT  PCT  PCT

**Number of Properties** Enter the total number of properties involved. #

**Fee Amount** Fee Amount for Properties Listed (37 CFR 3.41): \$

Method of Payment: Enclosed  Deposit Account

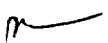
Deposit Account (Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number: #

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.*

Michael A. Glenn  10/5/01

Name of Person Signing Signature Date

### ASSIGNMENT

WHEREAS, We, Stuart SANDS and Stephen B. WARD, hereinafter referred to as "ASSIGNORS," have invented certain new and useful improvements, as described and set forth in the below-identified application for United States Letters Patent:

**Title of Invention:      Pre-Trade Compliance Checking in a  
Portfolio Management System**

WHEREAS, Charles Schwab & Co., Inc., a corporation duly organized under and pursuant to the laws of the State of California, and having its principal place of business at 101 Montgomery Street, San Francisco, California 94104, hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title, and interest in the said invention and application and in any Letters Patent which may be granted with regard to the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, ASSIGNORS have sold, assigned, and transferred, and by these presents does sell, assign, and transfer unto the said ASSIGNEE, and ASSIGNEE'S successors and assigns, all right, title, and interest in and to said invention, said application for United States Letters Patent and any Letters Patent which may be hereafter granted on the same in the United States and all countries throughout the world, including any divisions, renewals, continuations in whole or part, substitutions, conversions, reissues, revivals, prolongation, or extensions thereof, said interest to be held and enjoyed by said ASSIGNEE as fully and exclusively as it would have been held and enjoyed by said ASSIGNORS had this assignment and transfer not been made, for all time.

ASSIGNORS further agrees that they will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said application and/or applications, execute, verify, acknowledge, and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE may lawfully request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

IN TESTIMONY WHEREOF, ASSIGNORS have hereunto signed their names to the assignment on the date indicated below.

*Stuart Sands*  
STUART SANDS

9/26/01  
Date

*Stephen B. Ward*  
STEPHEN B. WARD

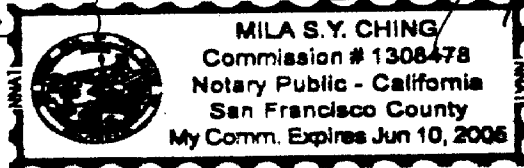
9-26-01  
Date

On this 26<sup>th</sup> day of September, in the year of 2001, before me, the undersigned notary public, personally appeared the above-named ASSIGNOR, known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged that he executed the same.

STATE OF CALIFORNIA  
COUNTY OF SAN FRANCISCO

ss.

*Mila S.Y. Ching*  
NOTARY PUBLIC



PATENT