

05-20-2002



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**CERTIFICATE OF MAILING**

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Date: 5-6-02  
Name: Melissa Scanzi  
Signature: Melissa Scanzi  
Clifford Chance Rogers & Wells LLP

Docket No. 6311-055

5-13-02

Please record the attached original document(s) or copy(ies) thereof:

**Conveying party(ies):**

|                    |              |
|--------------------|--------------|
| (name)             | (Exec. date) |
| Frederic Greenbaum | 3/4/02       |
| Michael Cortese    | 3/22/02      |
| Waikit Ng          | 3/4/02       |

**Receiving party:**

UBS AG  
G409, SZHROE Talstrasse 83  
8001 Zurich  
Switzerland

**Conveyance Type:**

|  |   |
|--|---|
| <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> Security Agreement |
| <input type="checkbox"/> License               | <input type="checkbox"/> Change of Name     |
| <input type="checkbox"/> Merger                | <input type="checkbox"/> Other _____        |

**Submission Type:**

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| <input type="checkbox"/> Corrective Document          | Frame _____ |

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

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

**Patent Application Number(s)**

10/090,285

**Patent Number(s)**

If this document is being filed with a new application, The application was signed by the first named executing inventor on: \_\_\_\_\_

**Correspondence Address:**

Joseph Levi  
CLIFFORD CHANCE  
ROGERS & WELLS LLP  
200 Park Avenue  
New York, New York 10166  
Telephone: (212) 878-8564

**Number of Properties:**

Total number of properties involved: 1

**Fee:**

Total fee under 37 CFR 1.21(h) (\$40/per) \$40

- ☐ Enclosed
- ☒ Authorized to charge to Deposit Account Number: **50-0521**. A duplicate copy of this cover sheet is attached.
- ☒ Please apply any additional fee or any credits to Deposit Account 50-0521.

05/17/2002 GTOW11 00000192 500521 10090285  
01 FC:581 40.00 CH

**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.

Joseph Levi, 41,152

Signature

Date

5/2/02

ASSIGNMENT

Frederic Greenbaum, a citizen of the United States of America and residing at 67 East Ridge Road, Stamford, CT 06903;

Michael Cortese, a citizen of the United States of America and residing at 37 Montrose Court, 32-43 Princes Gate, Exhibition Road, London SW7 2QG, England; and

Waikit Ng, a citizen of the United States of America and residing at 39 Weed Avenue, Stamford, CT 06902.

hereafter called "the Assignors", have made certain inventions and discoveries which are described in the patent specification entitled:

*GLOBAL COMPLIANCE SYSTEM*

☐ executed by us on the date indicated on the accompanying Declaration, preparatory to applying for Letters Patent therefor

☒ for U.S. Patent Application Serial No. 10/090,285, filed March 4, 2002

Whereas, UBS AG, a corporation organized and existing under and by virtue of the laws of Switzerland and having offices and doing business at G409, SZHROE Talstrasse 83, 8001 Zürich, Switzerland, hereafter called "the Assignee", is desirous of acquiring the title, rights, benefits and privileges recited below, and of confirming the same or any part thereof heretofore acquired by Assignee.

Now therefore let it be known that, in consideration of the sum of One Dollar (\$1.00) or the equivalent thereof, and other good and valuable consideration paid to each of us by the Assignee, we hereby do assign the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, and any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or discoveries or upon said applications, and any and all Letters Patent, utility models, design registrations, reissues and extensions of any Letters Patent granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;

We hereby authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;

We authorize and request the Commissioner of Patents of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as the Assignee may direct;

We warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;

We hereby covenant and agree and bind our respective heirs, legal representatives and assigns to sign all papers and drawings, take all rightful oaths, execute all rightful affidavits, and do all acts necessary or required to be done for the procurement and maintenance of Letters Patent or other form of protection for said invention in the United States and foreign countries, and for further investing or confirming the right and title

thereto in the Assignee, its successors, assigns or nominees, without charge to or additional consideration from said Assignee, its successors, assigns or nominees.

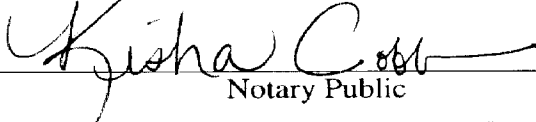
The undersigned declare under penalty of perjury under the laws of the United States of America that they have signed this document as their own free act and that all of the foregoing is true and correct.



Frederic Greenbaum

State of CONNECTICUT )  
County of Fairfield )::SS Stamford

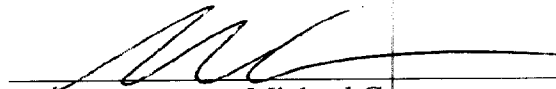
On this 4<sup>th</sup> day of MARCH, 2002 before me appeared Frederic Greenbaum, to me known and to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.



Notary Public

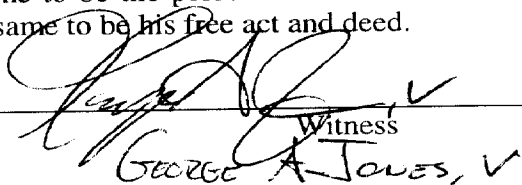
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My Commission Expires June 30, 2003

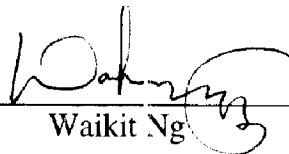


Michael Cortese

On this 22<sup>nd</sup> day of MARCH, 2002 before me appeared Michael Cortese, to me known and to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.

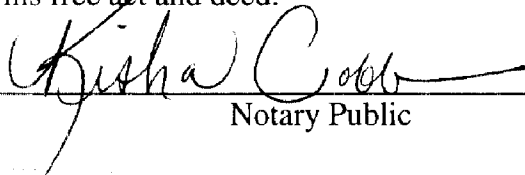


Witness  
George A. Jones, V

  
Waikit Ng

State of Connecticut )  
County of Fairfield ) ss STAMFORD

On this 4<sup>th</sup> day of MARCH, 2002 before me appeared Waikit Ng, to me known and to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.

  
Notary Public

(OFFICIAL SEAL)

My Commission Expires June 30, 2003