

Express Mail No.

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Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)



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U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

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Docket No.: 42246/25768

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

## 1. Name of conveying party(ies):

Efficient Market Services, Inc.

05-02-02

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

Name: Proficio Partners, LLC

Internal Address: \_\_\_\_\_

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

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

Street Address: 201 North Main Street

City: West Hartford State: CT Zip: 06107

Execution Date: September 7, 2001

Additional name(s) & 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 No.(s)

09/665,790

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Caroline G. Chicoine

Internal Address: Thompson Coburn LLP

Street Address: One US Bank Plaza, Suite 3500

City: St. Louis State: MO Zip: 63101-9928

## 6. Total number of application and patents involved: 1

7. 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:

20-0823

(Attach duplicate copy of this page if paying by deposit account)

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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.

Caroline G. Chicoine  
Name of Person Signing

Signature

07/22/02  
Date

Total number of pages including cover sheet, attachments, and documents: 3

Mail documents to be recorded with required cover sheet information to: Commissioner of Patents &amp; Trademarks, Box Assignments, Washington, D.C. 20231

FORM PTO-1595 (Modified)  
(Rev. 5-93)  
OMB No. 0651-0011 (exp. 4/94)  
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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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

## 1. Name of conveying party(ies):

Efficient Market Services, Inc.

Additional names(s) of conveying party(ies) ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☐ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☒ Other Correction to receiver state of incorporation

Execution Date: September 7, 2001

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

Name: Proficio Partners, LLC

Internal Address: \_\_\_\_\_

SEP 24

Street Address: 201 North Main StreetCity: West Hartford State: CT ZIP: 06107Additional name(s) & address(es) attached? ☒ Yes ☐ No

## 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: \_\_\_\_\_

A. Patent Application No.(s)

09/665,790

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Caroline G. ChicoineInternal Address: Thompson Coburn LLPStreet Address: One Firstar PlazaCity: St. Louis State: MO ZIP: 631016. 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:

20-0823

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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.

Caroline G. Chicoine

Name of Person Signing

Signature

September 20, 2001

Date

Total number of pages including cover sheet, attachments, and document: 6

**RECORDATION FORM COVER SHEET (Continued)  
PATENTS ONLY**

**For Patent Application No. 09/665,790**

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

Name: Efficient Market Services, Inc.

Internal Address: Suite 400

Street Address: 106 Wilmot Road

City: Deerfield State: IL ZIP: 60015

Patent  
42246/25768

ASSIGNMENT

WHEREAS, Efficient Market Services, Inc. ("EMS"), a corporation of the State of Delaware, having its physical office and place of business at 106 Wilmot Road, Suite 400, Deerfield, Illinois 60015, owns all rights, title and interest in and to the invention set forth in U.S. Patent Application Serial No. 09/665,790 entitled Electronic Offer Management System and Method Thereof (hereinafter referred to as "Invention"); and

WHEREAS, EMS desires to assign all rights, title and interest in and to said Invention, said application disclosing the Invention and any Letters Patent which may be granted therefore to EMS and Proficio Partners, LLC, a Connecticut limited liability company, having its physical office and place of business at 201 North Main Street, West Hartford, Connecticut 06107; and

WHEREAS, EMS and Proficio Partners, LLC, are desirous of acquiring the entire right, title and interest in and to said Invention and improvements as disclosed in and to said application, and in and to any Letter Patents which may be granted therefore.

NOW, in consideration of the sum of One Dollar (\$1.00) and other good and valuable consideration, the receipt and adequacy of all of which are hereby acknowledged, EMS has sold, assigned and transferred, and does hereby sell, assign and transfer unto EMS and Proficio Partners, LLC, its successors or assigns, the entire right, title and interest in and to said Invention and improvements as the same are disclosed in said application, in and to said application, and in and to any Letters Patent, including any divisions, continuations, continuations-in-part, reissues, reexaminations, and extensions to be obtained thereof, and in and to any and all Letters Patents of the United States and countries foreign thereto, which may be granted for said Invention, and in and to any and all priority rights, convention rights,

Patent  
42246/25768

and other benefits accruing or to accrue to EMS with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto; and EMS further agrees to cooperate with the assignees hereunder in the obtaining and sustaining of any and all such Letters Patent as the assignees may desire to apply for.

EMS hereby authorizes and requests the Commissioner of Patents and Trademarks to issue said United States Letters Patent to said assignees, as assignees of the whole right, title and interest thereto; and EMS further agrees to execute all necessary and lawful future documents, including applications for foreign patents, for filing divisionals, continuations and continuations-in-part of said application for patent, and/or for obtaining any reissue or reissues of any Letters Patent which may be granted for said Invention, as the assignees or their designees may from time to time require and prepare at their own expense, including any documents to perfect title in said Invention, modifications, and improvements in said Invention, applications and Letters Patent of the United States and countries foreign thereto.

IN WITNESS WHEREOF, we have hereunto set our hands this 7 day of <sup>September</sup>~~August~~,

2001.

EFFICIENT MARKET SERVICES, INC.

By: Penny Brown  
Name: Penny Brown  
Title: EVP

**Patent**  
**42246/25768**

STATE OF

COUNTY OF

On this 7<sup>th</sup> day of September, 2001, before me, a Notary Public, within and for the County of Lake, State of IL, personally appeared Penny Berni, to me known to be the person described in and who acknowledged executing the forgoing instrument as a free act and deed, and he or she also represented that he or she is authorized to execute the same.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written.

Linda Lurie  
Notary Public

My Commission Expires: 3/3/04

