

10-24-2002


 Substitute Form PTO-1595
 Attorney Docket No.: 09857-092001

102259677 R SHEET PATENTS ONLY

Commissioner for Patents: Please record the attached original document(s) or copy(ies).	
1. Name of conveying party(ies): Steven M. Bloom, Michael S. Spector, John L. Jacobs Additional name(s) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies): The Nasdaq Stock Market, Inc. 1801 K Street N.W. Washington, DC 20006 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: 10/9/02; 10/10/02	
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: A. Patent Application No(s): 10/077,182 B. Patent No(s): 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, Massachusetts 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: 10/15/02	
Total number of pages including coversheet, attachments and document: 7	

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner of Patents, Washington, D.C. 20231.

 October 15, 2002
 Date of Deposit

Signature

Typed Name of Person Signing Certificate

 PATENT
 REEL: 013402 FRAME: 0283

ASSIGNMENT

For valuable consideration, we, Steven M. Bloom, of Springfield, New Jersey, Michael S. Spector, of Washington, DC, and John L. Jacobs, of Columbia, Maryland, hereby assign to:

The Nasdaq Stock Market, Inc., a Delaware corporation having a place of business at:

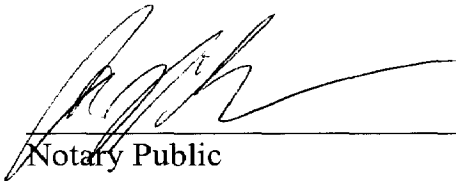
~~1735 K Street, N.W.~~ 1801 K Street, NW
Washington, DC 20006; and

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, entitled BALANCING ARBITRAGABLE TRACKING SECURITIES, filed February 15, 2002, and assigned U.S. Serial Number 10/077,182, 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 New York, NY,
 this 10th day of October, 2002
Steven M. Bloom L.S.
 Steven M. Bloom

State of New York :
 : ss.
 County of New York :

Before me this 10th day of October, 2002, personally
 appeared Steven M. Bloom 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.


 Notary Public

My Commission Expires:

EVAN J. GORDON
 NOTARY PUBLIC, State of New York
 No. 02GO6004863
 Qualified in New York County
 Commission Expires March 30, 2006

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
 this _____ day of _____, 20_____
 _____ L.S.
 Michael S. Spector

State of _____ :
 : ss.
 County of _____ :

Before me this _____ day of _____, 20_____, personally
 appeared Michael S. Spector 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.

Notary Public

My Commission Expires:

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at New York, NY,
this 10th day of October, 2002
John L. Jacobs L.S.

State of New York :
: SS.
County of New York :

Before me this 10th day of October, 2002, personally
appeared John L. Jacobs 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.

[Signature]
Notary Public

My Commission Expires:

[Notary's Seal Here]

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EVAN J. GORDON
NOTARY PUBLIC, State of New York
No. 02GO6004863
Qualified in New York County
Commission Expires March 30, 2006

ASSIGNMENT

For valuable consideration, we, Steven M. Bloom, of Springfield, New Jersey, Michael S. Spector, of Washington, DC, and John L. Jacobs, of Columbia, Maryland, hereby assign to:
The Nasdaq Stock Market, Inc., a Delaware corporation having a place of business at:

1801 K Street, NW
Washington, DC 20006; 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, entitled BALANCING ARBITRAGABLE TRACKING SECURITIES, filed February 15, 2002, and assigned U.S. Serial Number 10/077,182, 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 _____ day of _____, 20_____
 _____ L.S.
 Steven M. Bloom

State of _____ :
 : ss.
 County of _____ :

Before me this _____ day of _____, 20_____, personally
 appeared Steven M. Bloom 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.

 Notary Public
 My Commission Expires:

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at Washington, DC,
 this 9th day of October, 2002
Michael S. Spector L.S.
 Michael S. Spector

State of Washington, District of Columbia
 : ss.
 County of _____ :

Before me this 9th day of October, 2002, personally
 appeared Michael S. Spector 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.

The foregoing instrument was subscribed and sworn before
me this 9 day of October, 2007
by W. L. Jacobs, Notary Public
My commission expires Mar 14, 2005

[Signature]
Notary Public

My Commission Expires: Mar 14, 2005

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this _____ day of _____, 20____

John L. Jacobs L.S.

State of _____ :
: ss.

County of _____ :

Before me this _____ day of _____, 20____, personally
appeared John L. Jacobs 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.

Notary Public

My Commission Expires:

[Notary's Seal Here]

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