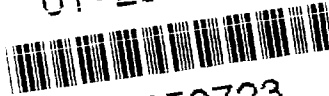


01-29-2003



102350723

Form PTO-1595  
(Rev. 03/01)

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

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):

Swycho Infrastructure Services Pty Ltd

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

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

Execution Date: July 20, 1995

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

Name: Alice Corporation Pty Ltd

Street Address: Level 40, 385 Bourke Street

City: Melbourne State: Victoria Zip Code: 3000

Country: Australia

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). 09/667,423

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

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

Name: Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

Internal Address: c/o Jeffrey S. Weaver

1033.0180001

Street Address: 1100 New York Ave., N.W.  
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved: 17. Total fee (37 C.F.R. § 3.41).....\$ 40.00

- ☐ Enclosed  
☒ Charge: PTO-2038 Credit Card Form Enclosed  
☐ Authorized to be charged to Deposit Account

8. Deposit Account Number:

19-0036

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

DO NOT USE THIS SPACE

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.*

Jeffrey S. Weaver

Name of Person Signing

Registration No. 45,608

Signature

Date

1-23-03

Total number of pages including cover sheet, attachments and document 2Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

SRGF D01-95075.1

NATIONAL AUSTRALIA BANK LIMITED  
ATTN: CHRISTINE WALKER  
GROUP SECRETARIAT  
Level 24  
500 Bourke Street  
MELBOURNE VIC 3000

Remove this top section if desired before framing

## Certificate of Registration on Change of Name

This is to certify that

**SWYCHCO INFRASTRUCTURE SERVICES PTY LTD**

**Australian Company Number 069 586 036**

did on the eighteenth day of August 1999 change its name to

**ALICE CORPORATION PTY LTD**

**Australian Company Number 069 586 036**

The company is a proprietary company.

The company is limited by shares.

The company is registered under the Corporations Law of  
Victoria and the date of commencement of registration  
is the twentieth day of July, 1995.

Issued by the  
Australian Securities and Investments Commission  
on this eighteenth day of August, 1999.



Alan Cameron  
Chairman



CERTIFICATE



TOTAL P.02

# NOTARIAL CERTIFICATE

I, JOHN GORDON HINDE, Notary Public, of Level 32, 31 Market Street, Sydney, New South Wales, 2000, hereby certify that the annexed is a true copy of the following document, the original of which I have seen:

## DEED OF ASSIGNMENT:

## BETWEEN

IAN KENNETH SHEPHERD of 6 Hopetoun Road, Toorak in the State of Victoria ("Shepherd")

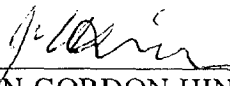
-and-

SWYCHCO INFRASTRUCTURE SERVICES PTY LTD (ACN 069 586 036) of Level 40, 386 Bourke Street, Melbourne, in the State of Victoria ("SIS")

-and-

SWYCHCO SUPPORT SERVICES PTY LTD (ACN 003 582 214) (formerly Bonjade Pty Ltd) care of James C Hayward & Co, Level 8, 19 Pitt Street, Sydney, in the State of New South Wales ("SSS").

DATED this Twenty-first Day of November 1997

  
JOHN GORDON HINDE  
Notary Public

JOHN GORDON HINDE  
NOTARY PUBLIC  
LEVEL 32  
31 MARKET ST  
SYDNEY NSW AUSTRALIA

[N:\LIBHH\00582:lam

# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 80.00

## Complete if Known

Application Number	09/667,423
Filing Date	September 21, 2000
First Named Inventor	Ian K. SHEPHERD
Examiner Name	Nicholas D. Rosen
Group Art Unit	3625
Attorney Docket No.	1033.0180001

## METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☒ Other\*\* ☐ None

☐ Deposit Account

Deposit Account Number 19-0036

Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any over payments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

\*\* Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1105	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$) \_\_\_\_\_

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra	Fee from below	Fee Paid
Total Claims _____ - 20** = _____	X		
Indep. Claims _____ - 3** = _____	X		
Multiple Dependent _____			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) \_\_\_\_\_

\*\*or number previously paid, if greater; For Reissue, see above

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1502	50	2052	25	Surcharge-late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	\$80.00
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 80.00

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Jeffrey S. Weaver	Registration No. (Attorney/Agent)	45,608	Telephone	202-371-2600
Signature		Date	1-23-03		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PATENT  
REEL: 013693 FRAME: 0435

D \$



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Jorge A. Goldstein  
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\*Admitted only in Maryland  
\*Admitted only in Virginia  
\*Admitted only in Texas  
\*Practice Limited to Federal Agencies

January 23, 2003

**WRITER'S DIRECT NUMBER:**

(202) 218-7831

**INTERNET ADDRESS:**

JWEAVER@SKGF.COM

The Honorable Director  
of Patents and Trademarks  
Washington, D.C. 20231

**Box Assignment**

Re: U.S. Utility Appl. No.09/667,423; Filed: September 21, 2000  
For: **Methods And Apparatus Relating To The Formulation And Trading Of Investment Contracts**  
Inventor(s): Ian K. SHEPHERD  
Our Ref: 1033.0180001

Sir:

Applicant(s) submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Fee Transmittal Form (PTO/SB/17);
2. Recordation Form Cover Sheet (Form PTO-1595) *requesting recordation of assignment from Ian Kenneth SHEPHERD to Swychco Infrastructure Services Pty Ltd.;*
3. Deed of Assignment to from Ian Kenneth SHEPHERD to Swychco Infrastructure Services Pty Ltd., official recordation and return of which is respectfully requested;
4. Recordation Form Cover Sheet (Form PTO-1595) *requesting recordation of Certificate of Registration On Change of Name from Swychco Infrastructure Services Pty Ltd. to Alice Corporation Pty Ltd.;*

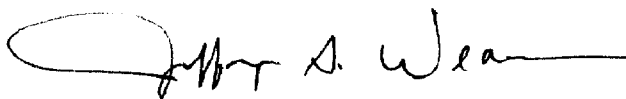
5. Certificate Of Registration On Change of Name from Swychco Infrastructure Services Pty Ltd to Alice Corporation Pty Ltd., official recordation and return of which is respectfully requested;
6. One (1) Return postcard; and
7. PTO-2038 Credit Card Payment Form for \$80.00 to cover recordation fee (\$40.00) for recordation of assignment and recordation fee (\$40.00) for recordation of Change of Name (37 C.F.R. § 1.21).

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey S. Weaver  
Attorney for Applicant  
Registration No. 45,608

JSW/mjg  
Enclosures  
SKGF\_DC1:95103.1