

03-18-2003



FILE NO. AP34886 - 070050.2150

RECORDATION I

PATENTS ONLY

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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):

Wei Fan and Salvatore J. Stolfo

Additional name(s) of conveying party(ies) attached?

☐ Yes☒ No

2. Name and address of receiving party(ies)

Name: THE TRUSTEES OF COLUMBIA UNIVERSITY IN  
THE CITY OF NEW YORK

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other:

Address: 116th Street and Broadway

City: New York

State: NY

Zip: 10027

Additional name(s) and address(es) attached? Country: U.S.A.

☐ Yes ☒ No

Execution Date: 02/05/03 and 02/06/03

4. Application number(s) or patent number(s) 10/269,694

If this document is being filed together with a new application, the execution date of the application is

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached?

☐ Yes☒ No5. Name and address of party to whom correspondence  
concerning document should be mailed:

Name: Walter M. Egbert III

BAKER BOTTS L.L.P.

30 Rockefeller Plaza - 44 Fl.

New York, NY 10112

6. Total number of applications and patents involved: one

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number :

02-4377 (Charge any additional fees to this account)

(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 instrumentation is true and correct and any attached copy is a true copy of the  
original document.*

WALTER M. EGBERT III PTO Reg. No. 37,317

Name of Person Signing

Signature

March 10, 2003

Date

Page 1 of 1

Total number of pages including cover sheet, attachments and document: 4

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PATENT  
REEL: 013841 FRAME: 0034

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**ASSIGNMENT**

WHEREAS, WE, WEI FAN and SALVATORE J. STOLFO, citizens of the United States, whose post office addresses are 730 Fort Washington Avenue, #6G, New York, New York 10040 and 80 Kenilworth Road, Ridgewood, New Jersey 07450, respectively, have made an invention entitled "SYSTEM AND METHODS FOR ANOMALY DETECTION AND ADAPTIVE LEARNING" as set forth and described in U.S. Patent Application Serial No. 10/269,694 for Letters Patent filed October 11, 2002; and

WHEREAS, THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK (hereinafter "COLUMBIA"), having its principal place of business at 116<sup>th</sup> Street and Broadway, New York, New York 10027, is desirous of acquiring the whole right, title and interest in and to said application for Letters Patent, and any continuations, divisions, extensions, substitutions, reissues and reexaminations thereof;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, BE IT KNOWN, that WE, the said WEI FAN and SALVATORE J. STOLFO, for and in consideration of the sum of One Dollar (\$1.00), lawful money of the United States, to us in hand paid by said COLUMBIA, and other valuable considerations unto me moving from said COLUMBIA, at or before the ensealing and delivery of these presents, the receipt of which is hereby acknowledged, have sold, assigned, transferred and conveyed and by these presents do sell, assign, transfer and convey, unto said COLUMBIA, its successors and assigns, the entire right, title and interest in and to the said invention as set forth and described in the specification forming a part of U.S. Patent Application Serial No. 10/269,694 for Letters Patent of the United States entitled "SYSTEM AND METHODS FOR ANOMALY DETECTION AND ADAPTIVE LEARNING" filed October 11, 2002, and any and all improvements thereon, and in and to said application and any division, continuation or continuation-in-part thereof, and in and to any Letters Patent of the United States which may be issued on any of said applications, and any reissues thereof, and in and to any and all applications for Letters Patent filed in foreign countries for said invention or improvements, including all priority rights under the Paris Convention, and any and all Letters Patent which may be granted in foreign countries therefor, TO HAVE AND TO HOLD THE SAME to the full end of the term or terms for which any and all said Letters Patent may be granted;

AND WE, the said WEI FAN and SALVATORE J. STOLFO, do hereby authorize and request the Commissioner of Patents and Trademarks to issue the said Letters Patent of the United States to said COLUMBIA, as the assignee of the entire right, title and interest in and to the same, for the sole use and benefit of said COLUMBIA, its successors and assigns;

AP34886 -070050.2150

PATENT

AND WE, the said WEI FAN and SALVATORE J. STOLFO, for the considerations aforesaid, do hereby covenant and agree to and with said COLUMBIA, its successors and assigns, that we have the full power to make this assignment, and that the rights assigned are not encumbered by any grant, license or right heretofore given, and that we, our executors or administrators, shall and will do all lawful acts and things and make, execute and deliver without further compensation, any and all other instruments in writing, further applications, papers, affidavits, powers of attorney, assignments, and other documents which, in the opinion of counsel for said COLUMBIA, its successors and assigns, may be required or necessary to more effectively secure to and vest in said COLUMBIA, its successors and assigns, the entire right, title and interest in and to said invention and improvements, applications, Letters Patent, rights, benefits, privileges and advantages hereby sold, assigned, transferred and conveyed, and that we will sign any applications for reissue which may be desired by the owner of the patent or patents which may be issued for the said invention or improvements.

IN WITNESS WHEREOF, I, the said WEI FAN, have hereunto set my hand and seal on the date below written.

02/05/03  
Date

Wei Fan  
WEI FAN

STATE OF NY

COUNTY OF NY : ss.:

BE IT KNOWN, that on this 5<sup>th</sup> day of February, 2003, before me personally came WEI FAN, to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.

AMY L. HABER  
NOTARY PUBLIC, State of New York  
No. 01HA5063858  
Qualified in Queens County  
Commission Expires July 29,

Amy L. Haber  
Notary Public

AMY L. HABER  
NOTARY PUBLIC, State of New York  
No. 01HA5063858  
Qualified in Queens County  
Commission Expires July 29, 2006

PATENT

IN WITNESS WHEREOF, I, the said SALVATORE J. STOLFO, have hereunto set my hand and seal on the date below written.

2/6/03  
Date

*[Signature]*  
SALVATORE J. STOLFO

STATE OF NY)  
: ss.:  
COUNTY OF NY)

BE IT KNOWN, that on this 6<sup>th</sup> day of February, 2003, before me personally came SALVATORE J. STOLFO, to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.

AMY L. HABER  
NOTARY PUBLIC, State of New York  
No. 01HA5063858  
Qualified in Queens County  
Commission Expires July 29, 2006

*Amy L. Haber*  
Notary Public