

05-29-2003

FD-1595
(Rev. 10/02)

5-9-03

RECORD,
FDEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

OMB No. 0651-0027 (exp. 6/30/2005)

Tab settings ⇒ ⇒ ⇒

102458720

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

1. Name of conveying party(ies):

DLJ Long Term Investment Corporation

2. Name and address of receiving party(ies)

Name: Pershing Investments LLC

Internal Address: _____

c/o The Bank of New York (Delaware)

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

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other _____

Street Address: _____

White Clay Center, Route 273

City: Newark

State: DE

Zip: 19711

Execution Date: 5/1/03

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) _____

09/827,333 09/988,009

B. Patent No.(s) _____

NONE

Additional numbers attached? ☐ Yes ☒ No

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

Name: Ilene B. Tannen, Esq.

Internal Address: Pennie & Edmonds LLP

Street Address: 1155 Avenue of the Americas

City: New York State: NY Zip: 10036

6. Total number of applications and patents involved: 2

7. Total fee (37 CFR 3.41).....\$ 80.00



Enclosed



Authorized to be charged to deposit account

8. Deposit account number: _____

DO NOT USE THIS SPACE

9. Signature.

Anna M. Kuzmik, Esq.

Name of Person Signing

Signature

5/8/2003

Date

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

05/28/2003 LMUELLER 00000070 09827333

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

01 FC:8021

80.00 DP

700053759

PATENT
REEL: 014148 FRAME: 0515

ASSIGNMENT

THIS ASSIGNMENT AGREEMENT ("Agreement") is made as of the 1st day of May, 2003 (the "Effective Date") by and between DLJ LONG TERM INVESTMENT CORPORATION ("Assignor"), a corporation organized and existing under the laws of the State of Delaware, having its principal place of business at 227 West Monroe Street, Suite 4320, Chicago, Illinois, USA 60606, and PERSHING INVESTMENTS LLC ("Assignee"), a limited liability company organized and existing under the laws of the State of Delaware, having its principal place of business at c/o The Bank of New York (Delaware), White Clay Center, Route 273, Newark, Delaware USA 19711.

WHEREAS, Assignor wishes to assign to Assignee all right, title and interest in and to the inventions, patent applications, and resulting patents specified in Section 1, below; and

WHEREAS, Assignee wishes to accept such assignment.

NOW THEREFORE, for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, the parties agree as follows:

1. Assignor hereby assigns to Assignee, and Assignee hereby accepts, all Assignor's rights, title and interest in and to, the inventions, patent applications and any foreign counterparts, and resulting patents (both U.S. and foreign) specified below (including any reissues, continuations-in-part, revisions, extensions, and reexaminations thereof), and the exclusive right to enforce such patents in the United States and throughout the world in the sole name of Assignee, its successors or assigns;

(a) United States Patent Application No. 09/827,333, filed on 4/6/2001, and entitled "Rules Engine Having User Activated Rules of Selectable Scope and Selectable Outcomes," and all U.S. and foreign counterpart applications; and

(b) United States Patent Application No. 09/988,009, filed on 11/16/2001, and entitled "Application Security Database (ASD) (APPSAFE) System and Method for Application-Level Security," and all U.S. and foreign counterpart applications.

2. The parties hereby agree that this Assignment may be executed in two or more counterparts each of which shall be deemed an original but all of which together shall constitute one and the same instrument.

IN WITNESS WHEREOF, the undersigned representatives of each of the parties hereto is duly authorized and does hereby execute this Agreement as of the Effective Date.

DLJ LONG TERM INVESTMENT CORPORATION

By: _____

Title: _____

Date: _____

PERSHING INVESTMENTS LLC

By: ~~Thomas J. P. P.~~ _____

Title: Vice President _____

Date: May 1, 2003 _____

IN WITNESS WHEREOF, the undersigned representatives of each of the parties hereto is duly authorized and does hereby execute this Agreement as of the Effective Date.

DLJ LONG TERM INVESTMENT CORPORATION

By: WRTZ

Title: President

Date: April 28, 2003

PERSHING INVESTMENTS LLC

By: _____

Title: _____

Date: _____

STATE OF Illinois)
COUNTY OF Cook)

CERTIFICATE OF ACKNOWLEDGMENT

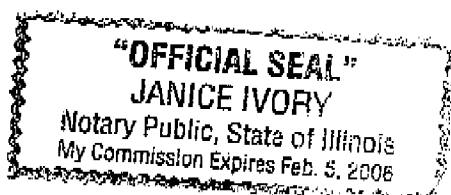
I, JANICE IVORY, a Notary Public, in and for the County and State aforesaid, do hereby certify that Willard R. Froehlich, known to me to be the President of DLJ LONG TERM INVESTMENT CORPORATION, appeared before me this day, in person, and acknowledged that he signed, sealed and delivered the foregoing instrument on behalf of DLJ LONG TERM INVESTMENT CORPORATION as his free and voluntary act for the uses and purposes therein set forth.

IN WITNESS WHEREOF I have hereunto set my hand and Notarial Seal, this 28th day of April, 2003.

Janice Ivory
Notary Public

My Commission Expires:

2-5-06



STATE OF New York
COUNTY OF New York

CERTIFICATE OF ACKNOWLEDGMENT

I, Catherine Yoon, a Notary Public, in and for the County and State aforesaid, do hereby certify that Thomas J. Mastro, known to me to be the Vice President of PERSHING INVESTMENTS LLC, appeared before me this day, in person, and acknowledged that he signed, sealed and delivered the foregoing instrument on behalf of PERSHING INVESTMENTS, LLC as his free and voluntary act for the uses and purposes therein set forth.

IN WITNESS WHEREOF I have hereunto set my hand and Notarial Seal, this 1st day of May, 2003.

Catherine Yoon
Notary Public

My Commission Expires:

Oct. 30, 2006

CATHERINE YOON
Notary Public, State of New York
No. 01YQ6050017
Qualified in Queens County
Certificate Filed in New York County
Commission Expires October 30, 2006

CHI99 4093101-3.044497.0015

DS

SULLIVAN & CROMWELL LLP

TELEPHONE: 1-212-558-4000
FACSIMILE: 1-212-558-3598
WWW.SULLCROM.COM



125 Broad Street
New York, NY 10004-2498

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WRITER NOT ADMITTED TO NEW YORK BAR

May 9, 2003

MAY 9 2003
P 1:41
RECEIVEDBy Hand

Commissioner of Patents & Trademarks,
Box Assignments,
Washington, DC 20231.

Re: DLJ Long Term Investment Corp./Pershing Investments LLC
Recordation of Assignment of Trademarks

Dear Sir or Madam:

Please record the above-referenced document against the U.S. patent filings identified in the accompanying Recordation Form Cover Sheet.

Enclosed please find a check in the amount of \$80.00 to cover recordation fees.

We also enclose an additional copy of this letter, which we request that you date stamp and return to the person submitting the document so that we may have a record of your receipt of this filing.

Cordially,

David W. Falk
David W. Falk
Legal Assistant

(Enclosures)

CERTIFICATE OF TELEFACSIMILE

I hereby certify that on November 21, 2003 the attached letter, coversheet, assignment and original letter of submission were sent to the attention of Mary Benton, Examiner at the Assignment Division of the U.S. Patent and Trademark Office by telefacsimile to telefacsimile No. 703-306-5995.


Ilene B. Tannen



NOVEMBER 05, 2003

PTAS

Chief Financial Officer and Chief Administrative Officer
Washington, DC 20231
www.uspto.govPENNIE & EDMONDS LLP
LENE B. TANNEN, ESQ.
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

102458720A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF NON-RECORDATION OF DOCUMENT

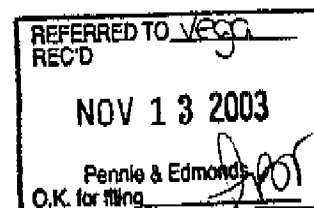
DOCUMENT ID NO.: 102458720

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231. IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

1. THE COVER SHEET SUBMITTED FOR RECORDING IS NOT ACCEPTABLE. AN EXECUTION DATE MUST BE INDICATED FOR EACH CONVEYING PARTY.

MARY BENTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDSPATENT
REEL: 014148 FRAME: 0523

**Facsimile Transmission**

November 21, 2003

New York, N.Y.
1155 Avenue of the Americas
New York, N.Y. 10036
(212) 790-9090
Facsimile: (212) 869-8864/9741

WRITER'S DIRECT DIAL:
(212) 790-7206
INTERNET ADDRESS:
ITANNEN@PENNIE.COM
DIRECT FAX NUMBER:
(212) 699-0256

Sender: Ilene B. Tannen

Pages (including this page): 9

Our Ref.: 11380-003-999

Recipient: Ms. Mary Benton, Examiner	Facsimile Number: 703-306-5995
Company: Assignment Division Office of Public Records	Your Ref.: Document ID No. 102458720

Confirmation copy will not follow.**Re: Notice of Non-recording of Document**

I refer to your letter of November 5, 2003.

As requested, the coversheet has been amended to identify the date of execution of the assignment. The coversheet, assignment and original letter of submission, along with your letter of November 5, 2003 are attached hereto.

It is requested that the original date of filing of May 9, 2003 be maintained in connection with the recordal of this assignment. Please contact the undersigned at 212-790-7206 if you have any questions.

Sincerely,

Ilene B. Tannen

Attachment

If you have any problems regarding this transmission, please contact Michelle Spano at (212) 790-7213.

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RECORDED: 11/21/2003

PATENT
REEL: 014148 FRAME: 0524