

U.S. DEPARTMENT OF COMMERCE

RECORDATION FORM COVER SHEET  
PATENTS ONLY

Patent and Trademark Office  
Docket No. B208-1010.1

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

1. Name of conveying party(ies):  
Daniel J. McCabe  
John A. Mulheren  
Additional name(s) of conveying party(ies) attached?  Yes  No

2. Name and address of receiving party(ies):  
Hunter Specialists, LLC  
40 Wall Street  
New York, New York 10005  
Additional name(s) & address(es) attached?  Yes  No

3. Nature of conveyance:  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Other:  
Corrective Assignment: Correct receiving party's name on both the Assignment and Recordation Form Cover Sheet at Reel/Frame 011129/0102  
Execution Date: August 22, 2000

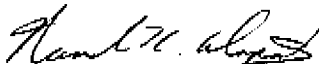
4. Application number(s) or patent number(s):  
If this document is being filed together with a new application, the execution date of the application is:  
A. Patent Application No.(s) 09/559,320 B. Patent No.(s)  
Additional numbers attached?  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:  
Nanda K. Alapati, Reg. No. 39,893  
WOMBLE CARLYLE  
Post Office Box 7037  
Atlanta, GA 30357  
USPTO Customer No. 26158

6. Total number of applications and patents involved: One  
7. Total fee (37 C.F.R. § 3.41): \$40.00  
Authorized to be charged to deposit account, Referencing Account no. 50096.0003.7  
8. Deposit account number: 09-0528

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. § 1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 09-0528.

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.  
  
Nanda K. Alapati, Reg. No. 39,893  
March 23, 2004  
Date

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

Commissioner of Patents and Trademarks  
Box Assignments

Facsimile No. 703-306-5995 Phone: 703-308-9723

CH \$40.00 090528 09559320

10-10-2000



101481876

Attorney Docket Number  
10449-003

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS  
Box Assignment  
Washington, DC 20231

8-29-00

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): <b>Daniel J. McCabe and John A. Mulheren</b>		2. Name and address of receiving party(ies): Name: <u>Hunter Specialists, LLP</u>	
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Address: <u>40 Wall Street, New York, New York</u> <u>10005</u>	
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 _____		Country (if other than USA): _____	
Execution Date: <u>August 22, 2000</u>			
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) <u>09/559,320</u>		B. Patent No.(s) _____	
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed:  PENNIE & EDMONDS LLP 1667 K Street, N.W. Washington, D.C. 20006		6. Number of applications and patents involved: <u>ONE</u>	
		7. Total fee (37 CFR 3.41):.....\$ <u>40.00</u> Please charge to the deposit account listed in Section 8.	
		8. Deposit account number: <u>16-1150</u>	
<b>DO NOT USE THIS SPACE</b>			
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>			
<u>Nanda K. Alapati</u> 39,893			<u>August 29, 2000</u>
Name of Person Signing Reg. No.		Signature	Date
Total number of pages including cover sheet:			3



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

10/06/2000 GTOM11 00000261 161150 09559320  
01 FC:581 40.00 CH

PATENT  
REEL: 014453 FRAME: 0127

JOINT

ASSIGNMENT

WHEREAS, WE,

Daniel J. McCabe, residing at 10 Watermill Court, Valley Cottage, New York 10989; and

John A. Mulheren, residing at 17 N. Ward Avenue, Rumson, New Jersey 07760

ASSIGNORS, citizens of the United States, are the inventors of the invention in:

DERIVATIVE SECURITIES TRADING PRODUCT UTILIZING SUBSETS OF INDICES OR PORTFOLIOS

for which we have executed an application for a Patent of the United States

- which is executed on  even date herewith or  \_\_\_\_\_
- which is identified by Pennie & Edmonds LLP docket no. 10449-003-999
- which was filed on April 27, 2000, Application No. 09/559,320

LLC <sup>McC</sup> 3/23/04

and WHEREAS, Hunter Specialists, ~~LLP~~ <sup>LLC</sup>, having a place of business at 40 Wall Street, New York, New York 10005, ASSIGNEE is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and

PATENT

REEL: 014453 FRAME: 0128

DCL-26276.1

testify in any legal proceeding, sign all lawful papers, execute assignments, provisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date Aug 22, 2000, 2000 [Signature] L.S.  
Daniel J. McCabe

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

In the State of New York, county of New York, on August 22, 2000, before me, JAMES L. ROTHENBERG Notary Public, personally appeared Daniel J. McCabe, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

**JAMES L. ROTHENBERG**  
Notary Public, State of New York  
No. 02RO4835911  
Qualified in New York County  
Commission Expires March 30, 2001

[Signature]  
Date August 22, 2000 [Signature] L.S.  
John A. Mulheren

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

In the State of New York, county of New York, on August 22, 2000, before me, JAMES L. ROTHENBERG Notary Public, personally appeared John A. Mulheren, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

[Signature]

**JAMES L. ROTHENBERG**  
Notary Public, State of New York  
No. 02RO4835911  
Qualified in New York County  
Commission Expires March 30, 2001