

09-16-2003

9/10/03



102552099

Form PTO-1595
(Rev. 03/01)
OMB No. 0651-0027 (exp. 5/31/2002)

RECORDATION FORM COVER SHEET
PATENTS ONLY

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):
Swychco Infrastructure Services Pty Ltd.

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

2. Name and address of receiving party(ies):
Name: Alice Corporation Pty Ltd

Street Address: Level 24, 500 Bourke Street

3. Nature of Conveyance:
 Assignment Merger
 Security Agreement Change of Name
 Other _____

Execution Date: August 18, 1999

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). 10/331,331

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 & Fox P.L.L.C.**
Internal Address: c/o Robert E. Sokohl
1033.0170004

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: 1

7. 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.

Robert Sokohl _____
Name of Person Signing Signature
Registration No. 36,013

9/10/03
Date

Total number of pages including cover sheet, attachments and document 8

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

SKGF_DC1:177066.1

09/11/2003 CNGUYEN 00000096 10331331

02 FC:8021

40.00 OP

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.

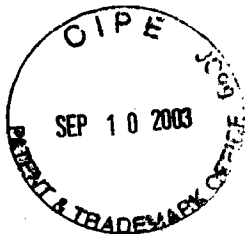
CERTIFICATE

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

Alan Cameron
Chairman



TOTAL P.02



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*Admitted only in Virginia
*Practice Limited to Federal Agencies

September 10, 2003

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Director of the
Patent and Trademark Office
PO Box 1450
Alexandria, VA 22313-1450

Mail Stop Assignment Recordation Services

Re: U.S. Utility Appl. No. 10/331,331; Filed: December 30, 2002
For: **Methods And Apparatus Relating To The Formulation And Trading Of Risk Management**
Inventor(s): Ian K. SHEPHERD
Our Ref: 1033.0170004

Sir:

Applicant 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.;**

Director of Patents and Trademarks

September 10, 2003

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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.

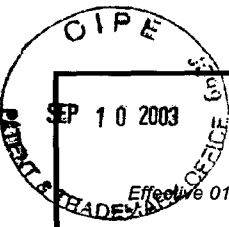
Respectfully submitted,

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



Robert Sokohl
Attorney for Applicant
Registration No. 36,013

RES/mjg
Enclosures
SKGF_DC1:177016.1



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. 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	10/331,331
Filing Date	December 30, 2002
First Named Inventor	Ian K. SHEPHERD
Examiner Name	To Be Assigned
Art Unit	3624
Attorney Docket No.	1033.0170004

METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other** None
 ** 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.

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.

FEE CALCULATION (continued)

3. ADDITIONAL FEES										
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 <i>ex parte</i> 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

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	Fee Paid
		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

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Robert Skachl	Registration No. (Attorney/Agent)	36,013
Signature		Telephone	202-371-2600
		Date	9/10/03

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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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