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Form **PTO-1595**
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Tab settings ⇒ ⇒ ⇒



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U.S. DEPARTMENT OF COMMERCE
U.S. 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):

**SPIELER, Christian; SLATER, Jonathan;
WALISCHE, Brigitta and ADAMS, Jonathan.**

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

3. Nature of conveyance:

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

2. Name and address of receiving party(ies)

Name: JPMorgan Chase Bank

Internal Address:

Street Address: 270 Park Avenue

City: New York State: NY Zip: 10017

Execution Date: Nov. 4, 2003; Nov. 4, 2003;
Nov. 10, 2003 & March 23, 2004

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) 10/644,281
filed August 20, 2003

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Milbank, Tweed, Hadley & McCloy LLP

Internal Address: Chris L. Holm

Street Address: 1 Chase Manhattan Plaza

City: New York State: NY Zip: 10005-1413

6. Total number of applications and patents involved: 1

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

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

13-3250 (any deficiencies & credit overpayment)

DO NOT USE THIS SPACE

9. Signature.

Chris L. Holm

Name of Person Signing

Signature

March 26, 200

Date _____

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

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

EV252568764US

PATENT
REEL: 015143 FRAME: 0082

PATENT

Docket No. 36287-03801

ASSIGNMENT OF APPLICATION FOR PATENT

WHEREAS:

SPIELER, Christian;
SLATER, Jonathan;
WALISCH, Birgitta: &
ADAMS, Jonathan

(full name(s) and post office address(s) of inventor(s) (including country))

(hereinafter referred to as ASSIGNOR(S)), has made a discovery or invention entitled:

SYSTEM AND METHOD FOR MANAGER ENHANCED RETURN ON COLLATERALIZED DEBT
OFFERING TRANSACTIONS

(title of discovery or invention)

[] for which application for Letters Patent of the United States has been executed on even date herewith,

[X] for which application for Letters Patent of the United States has been filed on August 20, 2003, under
Serial No. 10/644,281, and

WHEREAS:

JPMorgan Chase Bank, 270 Park Avenue, New York, NY 10017

(name and address of assignee)

(hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire interest in, to and under said invention and in, to and under Letters Patent or similar legal protection to be obtained therefore in the United States and in any and all foreign countries.

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN:

Be it known that in consideration of good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S) hereby sells, assigns and transfers to ASSIGNEE, its successors, legal representatives and assigns, the full and exclusive right, title and interest to said discovery or invention in the United States and its territorial possessions and in all foreign countries and to all Letters Patent or similar legal protection in the United States and its territorial possessions and in any and all foreign countries to be obtained for said invention by said application or any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in a foreign country for the full term or terms for which the same may be granted.

I, SAID ASSIGNOR(S), hereby authorize and request the Commissioner of Patents and Trademarks of the United States of America and any Official of any country or countries foreign to the United States of America whose duty it is to issue Letters Patent on applications as aforesaid, to issue all such Letters Patent for said discovery or invention to the ASSIGNEE, as assignee of the entire right, title and interest in, to and under the same, for the sole use and behalf of the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

I, SAID, ASSIGNOR(S), hereby covenant that I have full right to convey the entire right, title and interest herein sold, assigned, transferred and set over;

AND I, SAID ASSIGNOR(S) hereby further covenant and agree that the ASSIGNEE, its successors, legal representatives, or assigns, may apply for foreign Letters Patent on said discovery or invention and claim the benefits of the International Convention, and that I will, at any time, when called upon to do so by the ASSIGNEE, its successors, legal representatives, or assigns, communicate to the ASSIGNEE, its successors, legal representatives, or assigns, as the case may be, any facts known to me respecting said discovery or invention, and execute and deliver and all lawful papers that may be necessary or desirable to perfect the title to the said discovery or invention, the said applications and the said Letters Patent in the ASSIGNEE, its successors, legal representatives

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PATENT
REEL: 015143 FRAME: 0083

and assigns, and that it reissues of the said Letters Patent or disclaimers relating thereto, or divisions, continuations, or re-filings of the said applications, or any thereof, shall hereafter be desired by the ASSIGNEE, its successors, legal representatives, or assigns, sign all lawful papers, make all rightful oaths, execute and deliver all such disclaimers and all divisional, continuation and reissue applications so desired, and do all lawful acts requisite for the application for such reissues and the procuring thereof and for the filing of such disclaimers and such applications, and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said invention or discover in all countries, and without further compensation but at the expense of the ASSIGNEE, its successors, legal representatives and assigns.

Assignor's signature: _____

Christian SPIELER

Citizenship: GERMAN

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 4th day of November, 2003

STATE OF New York

ss.:

COUNTY OF New York

On this 4th day of November, 2003, before me, the undersigned authority, personally appeared to me

known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Catherine Harper

Notary Public

CATHERINE HARPER
Notary Public, State of New York
No. 01HA5017515

Qualified in Kings County

~~Certificate Filed in New York County~~
Commission Expires 9/7/2005

Assignor's signature: J. Slater

Jonathan SLATER

Citizenship: BRITISH

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 4th day of November, 2003

STATE OF New York

ss.:

COUNTY OF New York

On this 4th day of November, 2003, before me, the undersigned authority, personally appeared

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Catherine Harper
Notary Public

CATHERINE HARPER
Notary Public, State of New York
No. 01HA5017515
Qualified in Kings County
~~Certificate Filed in New York County~~
Commission Expires 9/7/2005

Assignor's signature: _____

Birgitta WALISCH

Citizenship: _____

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this _____ day of _____, 20__.

STATE OF _____)

ss.:

COUNTY OF _____)

On this _____ day of _____, 20__, before me, the undersigned authority, personally appeared

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Notary Public

Assignor's signature: _____

Jonathan ADAMS

Citizenship: NEW ZEALANDIN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 23rd day of MARCH, 2004STATE OF New York

ss.:

COUNTY OF New York

On this 23 day of MARCH, 2004, before me, the undersigned authority, personally appeared Jonathan Adams, to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Catherine Harper

Notary Public

CATHERINE HARPER
Notary Public, State of New York
No. 01HA5017515
Qualified in Kings County
~~Certified in New York County~~
Commission Expires 9/7/2004

Assignor's signature: _____

Jonathan SLATER

Citizenship: _____

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this _____ day of _____, 20__.

STATE OF _____)

ss.:

COUNTY OF _____)

On this _____ day of _____, 20__, before me, the undersigned authority, personally appeared

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Notary PublicAssignor's signature: B. Walisch

Birgitta WALISCH

Citizenship: GermanIN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 10 day of 11, 2003

STATE OF _____)

ss.:

COUNTY OF _____)

On this _____ day of _____, 20__, before me, the undersigned authority, personally appeared

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposed therein specified.

Notary Public