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To the Director of the U.S. Patents and Trademark Office

Documents or the new address(es) below.

1. Name of conveying party(ies)/Execution Date(s):

William G. Mulligan, Jr.

Execution Date(s) July 19, 2004

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

2. Name and address of receiving party(ies)

Name: The Mulligan Compliance Group LLC

Internal Address: _____

Street Address: 26 West 17th Street, Suite 801

City: New York

State: New York

Country: USA Zip: 10011

Additional Name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other _____

4. Application number(s) or patent number(s):

☒ This document is being filed together with a new application.

A. Patent Application No.(s)

B. Patent No.(s)

101910134

Additional numbers attached? ☐ Yes ☒ No

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

Name: Stephen C. Glazier

Firm: Kirkpatrick & Lockhart LLP

1800 Massachusetts Ave., N.W., Suite 200

Washington, DC 20036

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40.00

- ☐ Authorized to be charged by credit card
☐ Authorized to be charged to deposit account
☒ Enclosed
☐ None required (government interest not affecting title)

8. Payment Information

a. Credit Card Last 4 Numbers _____
Expiration Date _____

b. Deposit Account Number 50-1721

Authorized User Name _____

9. Signature :

Stephen C. Glazier
Signature

Reg. No. 31,361

Date

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

3

Name of Person Signing

Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

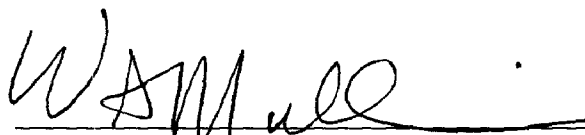
ASSIGNMENT

WHEREAS, I, William G. Mulligan, Jr. ("Assignor"), a citizen of the United States of America, residing in New York, New York, have invented certain new and useful inventions entitled "WEB-BASED SYSTEM AND METHOD FOR HEDGE FUND COMPLIANCE" for which an application for Letters Patent of the United States is to be filed; and

WHEREAS, THE MULLIGAN COMPLIANCE GROUP LLC ("Assignee"), a limited liability company organized under the laws of the State of New York, and having its offices and place of business at New York, New York, is desirous of acquiring the entire right, title and interest in and to the aforesaid inventions and in and to all applications and Letters Patent therefor granted in the United States of America, and in any and all countries foreign thereto.

NOW, THEREFORE, TO WHOM IT MAY CONCERN, be it known that, for and in consideration of the sum of One Dollar (\$1.00) to me in hand paid by the said Assignee, and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I said Assignor, by these presents do sell, assign and transfer unto said Assignee, its successors, assigns and legal representatives, the full and exclusive right, title and interest for the territory of the United States of America and all countries foreign thereto, and throughout the world and in space, (including the right to apply for Letters Patent in foreign countries in its own name and to claim any priority rights for such foreign applications to which such applications are entitled under international conventions, treaties, or otherwise), in and to said inventions and in and to all applications and Letters Patent granted therefor, and all divisions, reissues, continuations and extensions thereof, and in and to all copyrights, trademarks with their associated goodwill, trade secrets, confidential information, and compilations, necessary or useful to make, use, or sell the inventions. I hereby authorize and request the Commissioner of Patents, and any official whose duty it is to issue patents, to issue all Letters Patent on said inventions or resulting therefrom to said Assignee, or its successors and assigns, as assignee of the entire right, title and interest. I represent and warrant that I have full right to agree to, execute, and deliver this assignment. I agree that I will without further consideration, but at the expense of Assignee, communicate to said Assignee, or its successors, assigns, or nominees, any and all facts known to me regarding said inventions whenever requested, and that I will execute all divisional, reissue and continuation applications, testify in any legal proceedings, sign all lawful papers, make all rightful oaths, and generally do everything reasonable for said Assignee, its successors, assigns, and nominees, to obtain and enforce proper patent protection for said inventions in all countries.

IN WITNESS WHEREOF, I have hereunto set my hand and seal this 19th day of July, 2004.


William G. Mulligan, Jr.

STATE OF : New York
COUNTY OF: New York : SS

On this 19 day of July, 2004, before me personally appeared William G. Mulligan, Jr. to me known to be the person whose name is subscribed in the foregoing instrument, and who acknowledged that he executed said instrument as his free and voluntary act and for the purposes therein expressed.


Notary Public
James R. O'Connor
Notary Public, State of New York
No. 01OC6106539
Qualified in Suffolk County
Commission Expires March 08, 2008

My Commission Expires:

March 8, 2008