

08-13-2004



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8/10/04

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)/Execution Date(s):Allen R. FRIEDMAN, Stephen E. GRAY, Benjamin B. LOPATA,
David A. SEAMAN

Execution Date(s) 6/15/04, 6/14/04, 6/14/04, 6/14/04

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No**3. Nature of conveyance:**

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

2. Name and address of receiving party(ies)

Name: J.P. Morgan Chase Bank

Internal Address: _____

Street Address: 270 Park Avenue

City: New York

State: NY

Country: USA Zip: 10172

Additional name(s) & address(es) attached? ☐ Yes ☒ No**4. Application or patent number(s):**

A. Patent Application No.(s)

10/666,979 filed September 17, 2003

☐ This document is being filed together with a new application.
B. Patent No.(s)Additional numbers attached? ☐ Yes ☒ No**5. Name and address to whom correspondence concerning document should be mailed:**

Name: Milbank, Tweed, Hadley & McCloy LLP

Internal Address: Christopher E. Chalsen

Street Address: 1 Chase Manhattan Plaza

City: New York

State: NY Zip: 10005-1413

Phone Number: 212-530-5000

Fax Number: 212-530-5219

Email Address: cchalsen@milbank.com

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 Informationa. Credit Card Last 4 Numbers _____
Expiration Date _____

b. Deposit Account Number 13-3250

Authorized User Name Milbank (for deficiency)

9. Signature:

Signature

Chris Holm

Name of Person Signing

Date

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

6

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

EL548113725US

PATENT
REEL: 015666 FRAME: 0689

08/12/2004 NGSTRACHE 00000004 10666979

40.00 DP

01 FC:8021

ASSIGNMENT OF APPLICATION FOR PATENT

WHEREAS:

Allen R. Friedman, 315 Johnson Avenue, Teaneck, NJ 07666;
Stephen E. Gray, 20 Lawrence Rd., Madison, NJ 07940;
Benjamin B. Lopata, 112-03 68th Avenue, Forest Hills, N.Y. 11375;
Stephen L. Roti, 33 Clubside Drive, Woodmere, NY 11598;
David A. Seaman, 28 Martindale Rd., Short Hills NJ 07078; and
Kelly Cesare, _____

(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:

METHOD AND SYSTEM FOR TRANSFER OF EMPLOYEE STOCK OPTIONS

(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 September 17, 2003, under Serial No. 10/666,979, and

WHEREAS:

J.P. Morgan Chase Bank, 270 Park Avenue, New York NY 10172

(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

NY2:#4573340v1

Docket No. 36287-04402

or invention, the said applications and the said Letters Patent in the ASSIGNEE, its successors, legal representatives 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: 

Allen R. Friedman,

Citizenship: United StatesIN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 15th day of June, 2004STATE OF New York

ss.:

COUNTY OF New YorkOn this 15th day of June, 2004, 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

Docket No. 36287-04402

Assignor's signature: _____

Stephen E. Gray

Citizenship: United StatesIN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 14th day of June, 2004.STATE OF New York)

ss.:

COUNTY OF New York)On this 14th day of June, 2004, 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 HarperCATHERINE HARPER
Notary Public, State of New York

No. 01HA5017515

Qualified in Kings County

Notary Public

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

Assignor's signature: _____

Benjamin B. Lopata

Citizenship: United States

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

Docket No. 36287-04402

Assignor's signature: _____

Stephen E. Gray

Citizenship: United States

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: *Benjamin B. Lopata*

Benjamin B. Lopata

Citizenship: United StatesIN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 14th day of June, 2004STATE OF New York)

ss.:

COUNTY OF New York)On this 14th day of June, 2004, before me, the undersigned authority, personally appeared

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

Docket No. 36287-04402

Assignor's signature: _____

Stephen L. Roti

Citizenship: United States

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: David A. Seaman

David A. Seaman

Citizenship: United StatesIN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 14th day of June, 2004.STATE OF New York)

ss.:

COUNTY OF New York)On this 14th day of June, 2004, before me, the undersigned authority, personally appeared

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

Notary Public

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

Assignor's signature: _____

Kelly Cesare

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
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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

NY2:#4573340v1

RECORDED: 08/10/2004

PATENT
REEL: 015666 FRAME: 0695