

Form PTO-1595 (Rev. 08/05)
OMB No. 0651-0027 (exp. 6/30/2008)U.S. DEPARTMENT OF COMMERCE
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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)

1. Clifford J. Weber
2. Scott Ebner
3. Charles A. Baker
4. Bonnie Arculli

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No**2. Name and address of receiving party(ies)**Name: NYSE Alternext LLC

Internal Address: _____

3. Nature of conveyance/Execution Date(s):

1. 10/16/08 2. 10/20/08

Execution Date(s) 3. 10/16/08 4. 10/16/08

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

Street Address: 86 Trinity PlaceCity: New YorkState: New YorkCountry: USA Zip: 10006-1872Additional name(s) & address(es) attached? ☐ Yes ☒ No**4. Application or patent number(s):**☐ This document is being filed together with a new application.

A. Patent Application No.(s)

B. Patent No.(s)

12/255,518

Additional numbers attached? ☐ Yes ☒ No**5. Name and address to whom correspondence concerning document should be mailed:**Name: Michael J. StimsonInternal Address: HOWREY LLPAtty. Dkt.: 00322.0008.CPUS03Street Address: 2941 Fairview Park Drive, Suite 200City: Falls ChurchState: VA Zip: 22042Phone Number: (949) 759-3961Fax Number: (202) 383-7195Email Address: stimsonm@howrey.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 Information

a. Credit Card Last 4 Numbers _____

Expiration Date _____

b. Deposit Account Number 08-3038Authorized User Name Howrey LLP**9. Signature:** 

Signature

October 21, 2008

Date

Michael J. Stimson, Reg. No. 45,429

Name of Person Signing

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

3

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450American LegalNet, Inc.
www.USCourtForms.com**PATENT**

700388513

REEL: 021708 FRAME: 0959

CH \$40.00 083038 12266518

Howrey Docket No: 00322.0008.CPUS03

Application No.: 12/255,518

Filed: October 21, 2008

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned, the undersigned hereby sell and assign to the NYSE Alternext LLC, having a place of business at 86 Trinity Place, New York, New York 10006-1872, the Assignee, his/her entire right, title and interest

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

in the inventions known as **SYSTEMS AND METHODS FOR CHECKING MODEL PORTFOLIOS FOR ACTIVELY MANAGED FUNDS** or which application for patent in the United States of America has been executed by the undersigned, in any and all applications thereon, in any and all Letters Patents therefor, and in any and all reissues, extensions, renewals, reexaminations of such applications or Letters Patents and divisional and continuation applications thereof, to the full end of the term or terms for which such Letters Patents issue, including all claims, if any, that may have arisen for infringement prior to the date of this assignment, such entire right, title and interest to be held and enjoyed by the above-named Assignee to the same extent as they would have been held and enjoyed by the undersigned had this assignment and sale not been made.

The undersigned agree to execute all papers necessary in connection with the application and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding applications thereof and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.

The undersigned agree to execute all papers necessary in connection with any interference that may be declared concerning the application or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference.

The undersigned hereby represents that the undersigned has full right to convey the entire interest herein assigned, and that the undersigned has not executed, and will not execute, any agreement in conflict therewith.

The undersigned I hereby grant the attorney(s) and/or agent(s) associated with the customer number shown below:

Customer Number: 22930

of **HOWREY, LLP, 2941 Fairview Park Drive, Suite 200, Falls Church, Virginia 22042**, power to insert in this Assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

Howrey Docket No: 00322.0008.CPUS03

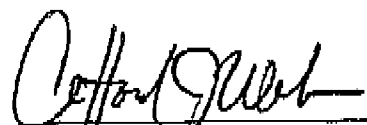
Application No.: 12/255,518

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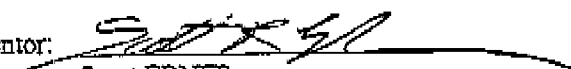
IN TESTIMONY WHEREOF, the Assignor has caused this Assignment to be executed as of the date written below.

Date: 10/16/08


Signature of Inventor:


Clifford J. WEBERDate: 10/20/08

Signature of Inventor:


Scott EBNERDate: 10/16/2008

Signature of Inventor:


Charles A. BAKERDate: Oct 15, 2008

Signature of Inventor:


Bonnie ARCULLI