

PATENT ASSIGNMENT

Electronic Version v1.1
 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT								
NATURE OF CONVEYANCE:	ASSIGNMENT								
CONVEYING PARTY DATA									
<table border="1"> <thead> <tr> <th>Name</th> <th>Execution Date</th> </tr> </thead> <tbody> <tr> <td>Robert D Arnott</td> <td>01/16/2013</td> </tr> <tr> <td>Feifei Li</td> <td>01/16/2013</td> </tr> <tr> <td>Paul C. Wood</td> <td>01/05/2013</td> </tr> </tbody> </table>		Name	Execution Date	Robert D Arnott	01/16/2013	Feifei Li	01/16/2013	Paul C. Wood	01/05/2013
Name	Execution Date								
Robert D Arnott	01/16/2013								
Feifei Li	01/16/2013								
Paul C. Wood	01/05/2013								
RECEIVING PARTY DATA									
Name:	Research Affiliates, LLC								
Street Address:	620 Newport Center Drive								
Internal Address:	Suite 900								
City:	Newport Beach								
State/Country:	CALIFORNIA								
Postal Code:	92660								
PROPERTY NUMBERS Total: 2									
<table border="1"> <thead> <tr> <th>Property Type</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Application Number:</td> <td>13593415</td> </tr> <tr> <td>PCT Number:</td> <td>US2012052173</td> </tr> </tbody> </table>		Property Type	Number	Application Number:	13593415	PCT Number:	US2012052173		
Property Type	Number								
Application Number:	13593415								
PCT Number:	US2012052173								
CORRESPONDENCE DATA									
Fax Number:	2023188788								
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>									
Phone:	202 349 1490								
Email:	rpalbrecht@atfirm.com								
Correspondent Name:	Albrecht Tousi & Farnum PLLC								
Address Line 1:	8200 Greensboro								
Address Line 2:	Suite 900								
Address Line 4:	McLean, VIRGINIA 22102								
ATTORNEY DOCKET NUMBER:	0001-00085USCI & 00086WO								
NAME OF SUBMITTER:	Ralph P. Albrecht								

OP \$80.00 13593415

Total Attachments: 9

source=Assignments_RFP_0001_00085#page1.tif

source=Assignments_RFP_0001_00085#page2.tif

source=Assignments_RFP_0001_00085#page3.tif

source=Assignments_RFP_0001_00085#page4.tif

source=Assignments_RFP_0001_00085#page5.tif

source=Assignments_RFP_0001_00085#page6.tif

source=Assignments_RFP_0001_00085#page7.tif

source=Assignments_RFP_0001_00085#page8.tif

source=Assignments_RFP_0001_00085#page9.tif

WORLDWIDE ASSIGNMENT BY INVENTORS

THIS ASSIGNMENT, by Robert D. Arnott, Feifei Li, and Paul C. Wood; (hereinafter referred to collectively as Assignors), respectfully residing at (i) 620 Newport Center Drive, Suite 900, Newport Beach, CA 92660 USA; (ii) 619 Sonoma Aisle, Irvine, CA 92618; (iii) 17 The Drive, Waltham Windmill, Waltham, Lincolnshire DN37 0FB, United Kingdom;

WHEREAS, Assignors have invented certain new and useful improvements related to:

USING ACCOUNTING DATA BASED INDEXING TO CREATE A PORTFOLIO OF FINANCIAL OBJECTS

set forth in a Patent application for Letters Patent of the United States, already filed on August 23, 2012 as U.S. Patent Application No. 13/593,415, claiming the benefit of, *inter alia*, U.S. Patent Application No. 13/216,238 filed on August 23, 2011; and;

WHEREAS, Research Affiliates, LLC, a corporation organized under and pursuant to the laws of California having its principal place of business at 620 Newport Center Dr. Suite 900, Newport Beach, CA 92660, USA (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said inventions and said Application for Letters Patent of the United States, and in and to any Letters Patent of the United States to be obtained therefore and thereon.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, Assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto Assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions and application for Letters Patent, and in and to any and all direct and indirect divisions, continuations and continuations-in-part of said application, and any and all Letters Patent in the United States and all foreign countries which may be granted therefor and thereon, and reissues, reexaminations and extensions of said Letters Patent, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by Assignee, for its own use and benefit and the use and benefit of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent may be granted and/or extended, as fully and entirely as the

same would have been held and enjoyed by Assignors, had this sale and assignment not been made.

AND for the same consideration, Assignors hereby represent and warrant to Assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, except for any rights, titles and/or interests that have arisen to Assignee under law or that have already been transferred to Assignee, Assignors are the sole and lawful owners of the entire right, title and interest in and to the said inventions and application for Letters Patent above-mentioned, and that the same are unencumbered and that Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, Assignors hereby covenant and agree to and with Assignee, its successors, legal representatives and assigns, that Assignors will sign all papers and documents, take all lawful oaths and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of any Letters Patent and applications for Letters Patent for said inventions, without charge to Assignee, its successors, legal representatives and assigns, whenever counsel of Assignee, or counsel of its successors, legal representatives and assigns, shall advise: that any proceeding in connection with said inventions, or said Patent application for Letters Patent, or any proceeding in connection with any Letters Patent or applications for Letters Patent for said inventions in any country, including but not limited to interference proceedings, is lawful and desirable; or, that any division, continuation or continuation-in-part of any application for Letters Patent, or any reissue, reexamination or extension of any Letters Patent, to be obtained thereon, is lawful and desirable.

AND Assignors hereby request the Commissioner of Patent and Trademarks to issue said Letters Patent of the United States to Assignee, as Assignee of said inventions and the Letters Patent to be issued thereon, for the sole use and benefit of Assignee, its successors, legal representatives and assigns.

AND Assignors hereby grant the following individuals the power to insert on this Assignment any further identification which 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:

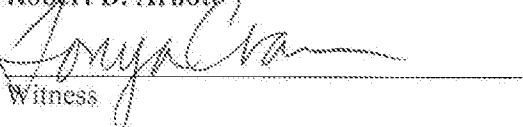
Albrecht Tousi & Farnum PLLC
All practitioners at Customer Number 94979

AND Assignors acknowledge an obligation of assignment of this invention to Assignee at the time the invention was made.



Robert D. Arnott

1/16/13
Date



Witness

1/16/13

Feifei Li

Date

Witness

Paul C. Wood

Date

Witness

WORLDWIDE ASSIGNMENT BY INVENTORS

THIS ASSIGNMENT, by **Robert D. Arnott, Feifei Li, and Paul C. Wood**; (hereinafter referred to collectively as Assignors), respectfully residing at (i) 620 Newport Center Drive, Suite 900, Newport Beach, CA 92660 USA; (ii) 619 Sonoma Aisle, Irvine, CA 92618; (iii) 17 The Drive, Waltham Windmill, Waltham, Lincolnshire DN37 0FB, United Kingdom;

WHEREAS, Assignors have invented certain new and useful improvements related to:

USING ACCOUNTING DATA BASED INDEXING TO CREATE A PORTFOLIO OF FINANCIAL OBJECTS

set forth in a Patent application for Letters Patent of the United States, already filed on August 23, 2012 as U.S. Patent Application No. 13/593,415, claiming the benefit of, *inter alia*, U.S. Patent Application No. 13/216,238 filed on August 23, 2011; and;

WHEREAS, **Research Affiliates, LLC**, a corporation organized under and pursuant to the laws of California having its principal place of business at 620 Newport Center Dr. Suite 900, Newport Beach, CA 92660, USA (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said inventions and said Application for Letters Patent of the United States, and in and to any Letters Patent of the United States to be obtained therefore and thereon.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, Assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto Assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions and application for Letters Patent, and in and to any and all direct and indirect divisions, continuations and continuations-in-part of said application, and any and all Letters Patent in the United States and all foreign countries which may be granted therefor and thereon, and reissues, reexaminations and extensions of said Letters Patent, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by Assignee, for its own use and benefit and the use and benefit of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent may be granted and/or extended, as fully and entirely as the

same would have been held and enjoyed by Assignors, had this sale and assignment not been made.

AND for the same consideration, Assignors hereby represent and warrant to Assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, except for any rights, titles and/or interests that have arisen to Assignee under law or that have already been transferred to Assignee, Assignors are the sole and lawful owners of the entire right, title and interest in and to the said inventions and application for Letters Patent above-mentioned, and that the same are unencumbered and that Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, Assignors hereby covenant and agree to and with Assignee, its successors, legal representatives and assigns, that Assignors will sign all papers and documents, take all lawful oaths and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of any Letters Patent and applications for Letters Patent for said inventions, without charge to Assignee, its successors, legal representatives and assigns, whenever counsel of Assignee, or counsel of its successors, legal representatives and assigns, shall advise: that any proceeding in connection with said inventions, or said Patent application for Letters Patent, or any proceeding in connection with any Letters Patent or applications for Letters Patent for said inventions in any country, including but not limited to interference proceedings, is lawful and desirable; or, that any division, continuation or continuation-in-part of any application for Letters Patent, or any reissue, reexamination or extension of any Letters Patent, to be obtained thereon, is lawful and desirable.

AND Assignors hereby request the Commissioner of Patent and Trademarks to issue said Letters Patent of the United States to Assignee, as Assignee of said inventions and the Letters Patent to be issued thereon, for the sole use and benefit of Assignee, its successors, legal representatives and assigns.

AND Assignors hereby grant the following individuals the power to insert on this Assignment any further identification which 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:

Albrecht Tousi & Farnum PLLC
All practitioners at Customer Number 94979

AND Assignors acknowledge an obligation of assignment of this invention to Assignee at the time the invention was made.

Robert D. Arnott

Date:

Witness

Feifei Li

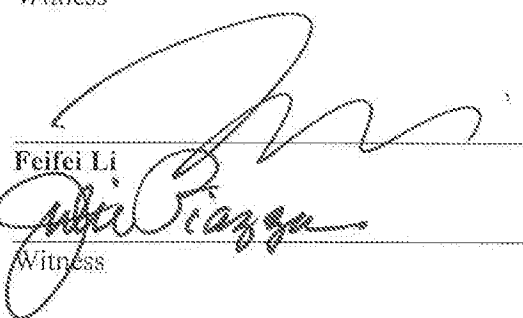
Date

Witness

Paul C. Wood

Date

Witness



01/16/2013

01/16/2013

Assignment_0001_00085

WORLDWIDE ASSIGNMENT BY INVENTORS

THIS ASSIGNMENT, by Robert D. Arnott, Feifei Li, and Paul C. Wood; (hereinafter referred to collectively as Assignors), respectfully residing at (i) 620 Newport Center Drive, Suite 900, Newport Beach, CA 92660 USA; (ii) 619 Sonoma Aisle, Irvine, CA 92618; (iii) 17 The Drive, Waltham Windmill, Waltham, Lincolnshire DN37 0FB, United Kingdom;

WHEREAS, Assignors have invented certain new and useful improvements related to:

USING ACCOUNTING DATA BASED INDEXING TO CREATE A PORTFOLIO OF FINANCIAL OBJECTS

set forth in a Patent application for Letters Patent of the United States, already filed on August 23, 2012 as U.S. Patent Application No. 13/593,415, claiming the benefit of, *inter alia*, U.S. Patent Application No. 13/216,238 filed on August 23, 2011; and;

WHEREAS, Research Affiliates, LLC, a corporation organized under and pursuant to the laws of California having its principal place of business at 620 Newport Center Dr. Suite 900, Newport Beach, CA 92660, USA (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said inventions and said Application for Letters Patent of the United States, and in and to any Letters Patent of the United States to be obtained therefore and thereon.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, Assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto Assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions and application for Letters Patent, and in and to any and all direct and indirect divisions, continuations and continuations-in-part of said application, and any and all Letters Patent in the United States and all foreign countries which may be granted therefor and thereon, and reissues, reexaminations and extensions of said Letters Patent, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by Assignee, for its own use and benefit and the use and benefit of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent may be granted and/or extended, as fully and entirely as the

same would have been held and enjoyed by Assignors, had this sale and assignment not been made.

AND for the same consideration, Assignors hereby represent and warrant to Assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, except for any rights, titles and/or interests that have arisen to Assignee under law or that have already been transferred to Assignee, Assignors are the sole and lawful owners of the entire right, title and interest in and to the said inventions and application for Letters Patent above-mentioned, and that the same are unencumbered and that Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, Assignors hereby covenant and agree to and with Assignee, its successors, legal representatives and assigns, that Assignors will sign all papers and documents, take all lawful oaths and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of any Letters Patent and applications for Letters Patent for said inventions, without charge to Assignee, its successors, legal representatives and assigns, whenever counsel of Assignee, or counsel of its successors, legal representatives and assigns, shall advise: that any proceeding in connection with said inventions, or said Patent application for Letters Patent, or any proceeding in connection with any Letters Patent or applications for Letters Patent for said inventions in any country, including but not limited to interference proceedings, is lawful and desirable; or, that any division, continuation or continuation-in-part of any application for Letters Patent, or any reissue, reexamination or extension of any Letters Patent, to be obtained thereon, is lawful and desirable.

AND Assignors hereby request the Commissioner of Patent and Trademarks to issue said Letters Patent of the United States to Assignee, as Assignee of said inventions and the Letters Patent to be issued thereon, for the sole use and benefit of Assignee, its successors, legal representatives and assigns.

AND Assignors hereby grant the following individuals the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply

with the rules of the United States Patent and Trademark Office for recording of this document:

Albrecht Trossi & Farnum PLLC
All practitioners at Customer Number 94979

AND Assignors acknowledge an obligation of assignment of this invention to Assignee at the time the invention was made.

Robert D. Armott

Date

Witness

Fefei Li

Date

Witness

Paul Wood

5/1/2013

Paul C. Wood

Date

[Handwritten Signature]

[Handwritten Signature]

Witness SUZANNE WOOD

5/01/13

Assignors: 001, 00003