

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT6731097

SUBMISSION TYPE:	CORRECTIVE ASSIGNMENT
NATURE OF CONVEYANCE:	Corrective Assignment to correct the TYPOGRAPHICAL ERROS IN THE NAME OF THE ASSIGNEE OF THE ASSIGNMENT DOCUMENT previously recorded on Reel 015205 Frame 0794. Assignor(s) hereby confirms the NAME OF THE ASSIGNEE IS AMERICAN STOCK EXCHANGE LLC.
CONVEYING PARTY DATA	
Name	Execution Date
JASON MACQUEEN	08/18/2004
TERRY NORMAN	09/10/2004
GARY GASTINEAU	08/27/2004
RECEIVING PARTY DATA	
Name:	AMERICAN STOCK EXCHANGE LLC
Street Address:	86 TRINITY PLACE
City:	NEW YORK
State/Country:	NEW YORK
Postal Code:	10006-1872
PROPERTY NUMBERS Total: 1	
Property Type	Number
Patent Number:	7571130
CORRESPONDENCE DATA	
Fax Number:	(215)656-3301
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
Phone:	215-656-2446
Email:	pto.phil@dlapiper.com
Correspondent Name:	RICHARD L. CRUZ, DLA PIPER LLP (US)
Address Line 1:	1650 MARKET STREET, SUITE 5000
Address Line 4:	PHILADELPHIA, PENNSYLVANIA 19103
ATTORNEY DOCKET NUMBER:	MKT-14-1087
NAME OF SUBMITTER:	NANCY NUNEZ
SIGNATURE:	/NN/
DATE SIGNED:	05/26/2021
Total Attachments: 7	
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RECORDATION FORM COVER SHEET PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- 1) Jason MacQueen
- 2) Terry Norman
- 3) Gary Gastineau

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

2. Name and address of receiving party(ies):

Name: **The American Stock Exchange, LLC**
 Street Address: **86 Trinity Place**
 City: **New York** State: **New York** Zip Code: **10006-1872**
 Country: **USA**

Additional name(s) & address(es) attached? ☐ yes ☒ no

3. Nature of Conveyance:

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

Execution Date(s): **08/18/2004; 09/10/2004 and 08/27/2004**

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. Parent Application No(s). **10/174,505, filed June 17, 2002**

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

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

Name: **HOWREY SIMON ARNOLD & WHITE, LLP**

Internal Address:

Street Address: **2941 Fairview Park Drive, Box 7**

City: **Falls Church** State: **VA** Zip Code: **22042**

6. Total number of applications and patents involved

1

7. Total fee (37 C.F.R. § 3.41).....\$ **40.00**

☐ Enclosed

☒ Authorized to be charged to Deposit Account

8. Deposit Account Number: **08-3038**

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael J. Stinson
 Name of Person Signing
 Registration No. **45,429**

Signature

Date

Total number of pages including cover sheet, attachments and document **7**

OMB NO. 0651-0011 (exp. 4/94)

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

CH \$40.00 083038 10174505

ASSIGNMENT

This ASSIGNMENT (and/or confirmation of previous ASSIGNMENT) is made and entered into by and among Clifford WEBER, Carol ALEXANDER, Charles BAKER, Jason MACQUEEN, Gary GASTINEAU, and Terry NORMAN (the "Assignors") and The American Stock Exchange, LLC, a corporation organized under the laws of the State of Delaware, located and doing business at 86 Trinity Place, New York, New York 10006-1872 (the "Assignee").

WHEREAS the Assignors desire to assign to Assignee their entire right, title and interest in and to the Invention (as defined below), and Assignee desires to accept such right, title, and interest.

NOW THEREFORE, in consideration of One Dollar (\$1.00) and of other good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, the parties agree as follows:

1. Invention Defined. As used in this Assignment "Invention" shall mean the patent application serial number 10/174,505 entitled **Hedging Exchange Traded Mutual Funds or Other Portfolio Basket Products**, filed on June 17, 2002, all inventions described or claimed therein, and any continuation, continuation-in-part, divisional, renewal, extension, substitute, reexamination, reissue thereof, all treaty and convention rights and all rights of priority arising from the aforesaid applications, all United States, international and foreign patent applications claiming priority therefrom, all United States, international and foreign patents, utility models, invention registrations or any other form of legal protection issuing thereon, and all rights to sue for past, present, or future infringement.

2. Assignment. The Assignors hereby sell, assign and transfer (or confirm previous assignment) to Assignee their entire right, title, and interest in and to the Invention.

3. Further Assurances. The Assignors hereby covenant that such Assignors shall, at the cost and expense of Assignee, take all actions and execute all documents necessary or desirable to perfect the interest of Assignee in and to the Invention, and do all lawful acts requisite for enforcing rights thereunder, and shall not enter into any agreement in conflict with this Assignment. The Assignors hereby covenant to communicate to Assignee any facts known concerning the Invention.

4. Acknowledgement. The Assignors acknowledge that Assignee shall have the right to make application for and to receive Letters Patent for the Invention in any country throughout the world, and to receive Letters Patent in its name covering the Invention.

5. Representations and Warranties. The Assignors represent and warrant that they (i) have full power and authority to enter into this Assignment, (ii) this Assignment has been duly authorized, executed and delivered by each such Assignor and constitutes the legal, valid and binding obligation of each such Assignor, enforceable against him or her in accordance with its terms hereof, (iii) have not previously assigned any right or interest in the Invention to any third party, (iv) are under no obligation to assign any right or interest in the Invention to any

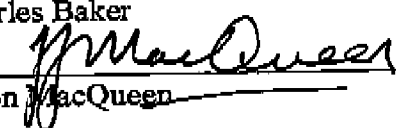
third party, and (v) entry into this Assignment does not breach any agreement between any Assignor and any third party.

6. Successors. This Assignment shall be binding upon and inure to the benefit of the parties thereto and to their respective successors and assigns.

7. Counterparts. This Assignment may be executed in two or more counterparts, each of which shall be deemed to be an original but all of which together shall constitute one and the same instrument.

8. Choice of law. This Assignment shall be governed by, and construed in accordance with, the internal law of the State of New York, without reference to its choice of law principles.

IN WITNESS WHEREOF, the Assignors have caused this Assignment to be executed as of the date written below.

Date: _____	Signature of Inventor: _____ Clifford Weber
Date: _____	Signature of Inventor: _____ Carol Alexander
Date: _____	Signature of Inventor: _____ Charles Baker
Date: <u>18/8/04</u>	Signature of Inventor: <u></u> Jason MacQueen
Date: _____	Signature of Inventor: _____ Gary Gastineau
Date: _____	Signature of Inventor: _____ Terry Norman

ASSIGNMENT

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Date: _____	Signature of Inventor: _____ Carol Alexander
Date: _____	Signature of Inventor: _____ Charles Baker
Date: _____	Signature of Inventor: _____ Jason MacQueen
Date: _____	Signature of Inventor: _____ Gary Gastineau
Date: <u>10 Sept 2004</u>	Signature of Inventor: _____ Terry Norman

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Date: _____	Signature of Inventor: _____ Carol Alexander
Date: _____	Signature of Inventor: _____ Charles Baker
Date: _____	Signature of Inventor: _____ Jason MacQueen
Date: <u>8/27/2004</u>	Signature of Inventor: <u>Gary F. Gastineau</u> Gary Gastineau
Date: _____	Signature of Inventor: _____ Terry Norman