

FORM PTO-1618A  
Expires 08/30/99  
OMB 0851-0027

01-31-2001

U.S. Department of Commerce  
Patent and Trademark Office  
TRADEMARK



101599842



1.26.01

### RECORDATION FORM COVER SHEET TRADEMARKS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

#### Submission Type

- New
- Resubmission (Non-Recordation)  
Document ID # \_\_\_\_\_
- Correction of PTO Error  
Reel # \_\_\_\_\_ Frame # \_\_\_\_\_
- Corrective Document  
Reel # \_\_\_\_\_ Frame # \_\_\_\_\_

#### Conveyance Type

- Assignment  License
- Security Agreement  Nunc Pro Tunc Assignment  
Effective Date  
Month Day Year  
1 4 01
- Merger
- Change of Name
- Other \_\_\_\_\_

#### Conveying Party

Mark if additional names of conveying parties attached

Name Institutional Distributors, Inc.

Execution Date  
Month Day Year  
1 4 01

Formerly \_\_\_\_\_

- Individual  General Partnership  Limited Partnership  Corporation  Association

Other \_\_\_\_\_

Citizenship/State of Incorporation/Organization Kentucky

#### Receiving Party

Mark if additional names of receiving parties attached

Name River Bay Statutory Trust

DBA/AKA/TA \_\_\_\_\_

Composed of \_\_\_\_\_

Address (line 1) c/o First Union National Bank

Address (line 2) 10 State House Square

Address (line 3) Hartford

CT

06103

- Individual  General Partnership  Limited Partnership  Corporation  Association

Other \_\_\_\_\_

Other Statutory Trust

Citizenship/State of Incorporation/Organization Connecticut

If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative should be attached (Designation must be a separate document from Assignment.)

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FOR OFFICE USE ONLY

01 FC:481 40.00 00  
02 FC:482 25.00 00

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0851-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0851-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

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

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U.S. Department of Commerce  
Patent and Trademark Office  
**TRADEMARK**

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

**Correspondent Name and Address**

Area Code and Telephone Number

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

**Pages** Enter the total number of pages of the attached conveyance document including any attachments. #

**Trademark Application Number(s) or Registration Number(s)**  Mark if additional numbers attached

Enter either the Trademark Application Number or the Registration Number (DO NOT ENTER BOTH numbers for the same property).

Trademark Application Number(s)

Registration Number(s)

**Number of Properties** Enter the total number of properties involved. #

**Fee Amount** Fee Amount for Properties Listed (37 CFR 3.41): \$

Method of Payment: Enclosed  Deposit Account

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number: #

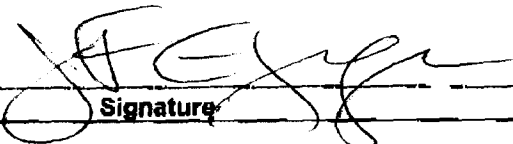
Authorization to charge additional fees: Yes  No

**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. Charges to deposit account are authorized, as indicated herein.

Joseph Campagna, President

Name of Person Signing

 1/4/01

Signature

Date Signed

## ASSIGNMENT OF TRADEMARKS (FEDERAL)

This Assignment of Trademarks ("Assignment") is made as of January 4, 2001 by Institutional Distributors, Inc., a Kentucky corporation ("Assignor"), to River Bay Statutory Trust, a Connecticut Statutory Trust ("Assignee").

### RECITALS

1. On January   , 2001, Assignor approved a Plan of Liquidation (the "Plan"), which provides, among other things, for the distribution of all of Assignor's assets to Assignee, its sole shareholder.
2. Assignor is the exclusive owner of all of the right, title, and interest in and to the trademarks listed on Exhibit A hereto (the "Marks").
3. Assignor desires to transfer and assign to Assignee all of its rights, title, and interest in and to the Marks and the business good will symbolized thereby.

### AGREEMENT

NOW, THEREFORE, as specified in the Plan, Assignor does hereby grant and assign to Assignee all right, title to, and interest in, the Marks, and the goodwill of the business symbolized thereby, together with all claims for profits, damages, and equitable relief by reason of past infringement of the Marks by any party or parties.

Assignor for itself, its successors and assigns hereby covenants and agrees that, at any time and from time to time forthwith upon the written request of Assignee, Assignor will do, execute, acknowledge, and deliver or cause to be done, executed, acknowledged, and delivered, each and all of such further acts, deeds, assignments, transfers, conveyances, powers of attorney, and assurances as may reasonably be required by Assignee in order to assign, transfer, set over, convey, assure, and confirm unto and vest in Assignee, its successors and assigns, title to the Marks.

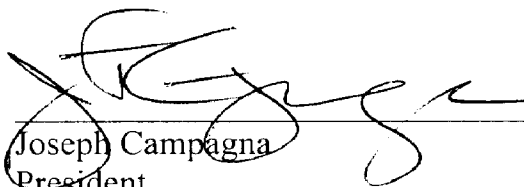
IN WITNESS WHEREOF, Assignor has executed this Assignment of Trademarks (Federal) as of the date first written above.

INSTITUTIONAL DISTRIBUTORS, INC.

By:

Name: Joseph Campagna

Title: President



**ACKNOWLEDGEMENT**

STATE OF VIRGINIA )  
 )  
COUNTY OF FAIRFAX )      ss:

On January 1, 2001, before me personally came Joseph Campagna, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity(ies), and that by his signature on the instrument, the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS      MY HAND AND OFFICIAL SEAL.

[seal]

Margaret C. Keating  
Notary Public in and for said County and State