

05-10-1999



101032982

RECORDATION FORM COVER SHEET

PATENTS ONLY

Attorney Docket Number
9628-007-999ABLE COMMISSIONER OF PATENTS AND TRADEMARKS
Box Assignment
Washington, DC 20231

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Walter D. Buist

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____Execution Date: April 15, 1999

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

Name: Wit Capital CorporationAddress: 826 Broadway
New York, NY 10003

Country (if other than USA): _____

jc519 U.S. PTO
09/292553
04/15/99

4. Application number(s) or patent number(s):

09292553

If this document is being filed together with a new application, the execution date of the application is: April 15, 1999A. Patent Application No.(s) Not Yet Assigned

B. Patent No.(s) _____

Additional numbers attached? ☐ Yes ☒ No

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

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, NY 10036

6. Number of applications

and patents involved: 017. Total fee (37 CFR 3.41):.....\$ 40.00

Please charge to the deposit account listed in Section 8.

8. Deposit account number:

16-1150

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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.

Francis E. Morris

24,615

Signature

Date

Name of Person Signing Reg. No.

April 15, 1999

Total number of pages including cover sheet:

02

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

05/10/1999 DMGUYEN 00000021 161150 09292553

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40.00 CH

ASSIGNMENT

WHEREAS, I, Walter D. Buist, ASSIGNOR, citizen of the United States, residing at 405 Springfield Avenue, Hasbrouck Heights, New Jersey 07604, am the inventor of the invention in SYSTEM AND METHOD FOR CONDUCTING SECURITIES TRANSACTIONS OVER A COMPUTER NETWORK for which I have executed an application for a Patent of the United States

☒ which is executed on ☐ even date herewith or ☒ April 15, 1999

☒ which is identified by Pennie & Edmonds LLP docket no. 9628-007-999

☒ which is filed Concurrently Herewith, Application No. Not Yet Assigned

and WHEREAS, Wit Capital Corporation, ASSIGNEE, a corporation of the State of Delaware, with a place of business at 826 Broadway, New York, NY 10003, is desirous of obtaining my entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the said ASSIGNOR, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, my entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND I HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND I HEREBY covenant and agree that I have full right to convey the entire interest herein assigned, and that I have not executed, and will not execute, any agreement in conflict herewith.

AND I HEREBY further covenant and agree that I will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to me respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 15 day of APRIL, 1999.

Walter D. Buist L.S.

State of New York)
County of New York) SS.:

On this 15th day of APRIL, 1999, before me, a Notary Public in and for the State and County aforesaid, personally appeared WALTER D. BUIST, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

SUSAN B. SANTANIELLO
Notary Public, State of New York
No. 31-4931343
Qualified in New York County
Commission Expires 06-20-2000

Susan B. Santaniello

Notary Public.

NY2 - 950770.1

RECORDED: 04/15/1999

PATENT
REEL: 9930 FRAME: 0238