

02-28-2000

FORM PTO-1595
(Rev. 6-93) Docket 10106.6RECORDATION FORM COVER SHEET
OMB No. 0651-0011 (exp. 4/94)
PATENTS ONLY

101276740

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

1. Name of conveying party(ies):

a) Gary KATZ

Additional name(s) of conveying party(ies) attached?
[] Yes [x] No

3. Nature of conveyance:

[x] Assignment [] Merger
[] Security Agreement [] Change of Name
[] Other _____

Execution Date: January 27, 2000

2. Name and address of receiving party:

Name: ISE, LLCStreet Address: 60 Board StreetCity: New YorkState: New York ZIP: 10004

Additional name(s) & address(es) attached? [] Yes [X] No

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OPERANCE

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. Patent Application No.(s) 09/433,613

B. Patent No.(s)

Additional numbers attached? [] Yes [X] No

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

Name: Stephen J. LiebInternal Address: Orrick, Herrington & Sutcliffe LLPStreet Address: 666 Fifth AvenueCity: New York State: New York ZIP: 10103

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41).....\$ 40.00

[X] Enclosed

[X] Authorized to be charged to deposit account for any deficiency

8. Deposit account number: 15-0665

(Attach duplicate copy of this page if paying by deposit account)

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.

Stephen J. Lieb, Reg. No. 41,943

Name of Person Signing

Signature

January 31, 2000

Date

Total number of pages including cover sheet, attachments, and document: [4]

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

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(40.00 OP)

PATENT
REEL: 010564 FRAME: 0095

Attorney Docket No.: 10106.6

ASSIGNMENT

WHEREAS, I:

Gary Katz

residing at 3 Warden Place, Plainview, New York 11803

have made an invention entitled:

Automatic Exchange for Trading Derivative Securities

and

- ☐ am about to make application for United States Letters Patent therefor, the same being executed by us on even date or dates herewith;
- ☒ have made an application for a United States Letter Patent thereof, filed November 2, 1999, Serial Number 09/433,613 claiming priority from a provisional application, filed November 3, 1998 under Serial Number 60/106,935

WHEREAS, International Securities Exchange, LLC, a New York Limited Liability Company, having offices at 60 Broad Street, 26th Floor, New York, New York 10004, U.S.A., and its successors, assigns and legal representatives, hereinafter called "the Assignee" (which term shall include its successors and assigns), desires to acquire said invention:

THEREFORE, for and in consideration of One Dollar (\$1.00), the receipt of which is hereby acknowledged, I do hereby sell, assign and transfer to the Assignee my entire right, title and interest, in and throughout the United States of America (including its territories and dependencies) in and to and under said invention, and in and to said application (which term shall include hereinafter, where the context so admits, all divisional, continuing, reissue and other patent applications based thereon and all applications the priority of which is claimed

therein) and the improvements (which term shall include each and every such improvement or invention, or any part thereof) therein described, and any and all patents which may be granted on or for said invention, said improvements or said application;

And for the same consideration I do hereby jointly and severally agree for myself and for my heirs, executors and administrators, promptly upon request of the Assignee, to execute and deliver without further compensation any power of attorney, assignment, original, division, continuing, reissue or other application or applications for patent or other lawful documents and any further assurances that may be deemed necessary or desirable by the Assignee fully to secure to it said right, title, and interest as aforesaid in and to said invention, said improvements, and said several patents, or any of them, all, however, at the expense of the Assignee;

And, in the event of my unavailability, I do hereby authorize Assignee to file, or cause to be filed on my behalf, and in accordance with 37 C.F.R. §1.41(c), any original, division, continuing, reissue or other application or applications for patent or patents that may be deemed necessary or desirable by the Assignee fully to secure to it said right, title, and interest as aforesaid in and to said invention and said improvements, and I do hereby appoint Assignee attorney in fact to execute any documents on our behalf which may be necessary to accomplish the foregoing, all, however, at the expense of the Assignee;

And I do hereby authorize and request the Commissioner of Patents and Trademarks of the United States of America to issue to the Assignee any and all patents which may be granted upon said application or on or for said invention or improvements;

And I do hereby covenant for myself and for my legal representatives and agree with the Assignee that I have granted no right or license to make, use or sell said improvements to anyone except the Assignee, that prior to the execution of this deed my right, title and interest in and to said improvements have not been otherwise encumbered, and that I have not executed and will not execute any instrument in conflict herewith.

IN WITNESS WHEREOF, I have set my hand and seal hereunto on the dates specified below.



Gary Katz

NEW YORK, NEW YORK
Place: (City, State)

1/27/00
Date

State of)
)ss.:
County of)

On this 27th day of JANUARY, 1999, before me personally appeared Gary Katz, to me personally known and known to be the person who executed the foregoing Assignment and acknowledged the same to be his free act and deed.

Notary Public

DOCSNY1:511917.1
10106-2 SL6

CHRISTOPHER L. COLEMAN
Notary Public, State of New York
No. 01C05017784
Qualified in New York County
Commission Expires Sept. 12, 2021