

10-11-2000

# RECORDATION FORM COVER PATENTS ONLY



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

## 1. Name of conveying party(ies):

Michael H. EVELYN  
Robert S. GOLDBERG  
Jordan M. HAYES  
Cliff M. GERRISH  
Othar HANSSON  
Charles A. OCHERET

- ☒ Individual(s) ☐ Association  
☐ General Partnership ☐ Limited Partnership  
☐ Corporation-State ☐ Other

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

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

Name: W.R. Hambrecht & Co., LLC  
Street Address: 550 15th Street  
City: San Francisco, State: CA ZIP: 94103

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

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

Execution Date: September 15, 2000, September 15, 2000, September 20, 2000, September 20, 2000, September 20, 2000 and September 16, 2000 respectively

09/668/255

## 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: September 21, 2000

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

MRB 9-21-00

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

Erwin J. Basinski  
Morrison & Foerster LLP  
425 Market Street  
San Francisco, California 94105-2482

## 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, referencing Attorney Docket 422232000300

## 8. Deposit account number: 03-1952

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. § 1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 03-1952.

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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.

Name: Erwin J. Basinski  
Registration No: 34,775

Signature

Date

10/02/2000 10:00:15 09/668255

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Total number of pages comprising cover sheet, attachments and document: 3

Mail documents to be recorded with required cover sheet information to:  
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sf-966076

PATENT  
REEL: 011138 FRAME: 0335

# **ASSIGNMENT JOINT**

THIS ASSIGNMENT, by Michael H. EVELYN, Robert S. GOLDBERG, Jordan M. HAYES, Cliff M. HAYES, Othar HANSSON, Charles A. OCHERET (hereinafter referred to as the assignors), residing at Far Hills, New Jersey, Brookville, New York, Berkeley, California, San Francisco, California, Union City, California and Scarsdale, New York, respectively, witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in SYSTEM AND METHOD FOR PRICING AND ALLOCATION OF COMMODITIES OR SECURITIES, set forth in an application for Letters Patent of the United States, having an oath or declaration executed on even date herewith; and




WHEREAS, W. R. Hambrecht & Co., LLC, a corporation duly organized under and pursuant to the laws of Delaware and having its principal place of business at 550 15th Street, San Francisco, CA 94103 (hereinafter referred to as the 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 or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said 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, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, 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 Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

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

<u>9/15/00</u> Date	 Michael H. EVELYN
<u>9/15/00</u> Date	 Robert S. GOLDBERG
<u>9-20/00</u> Date	 Jordan M. HAYES

9-20-2000

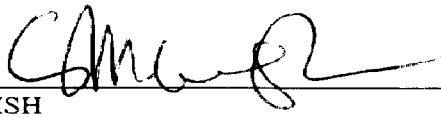
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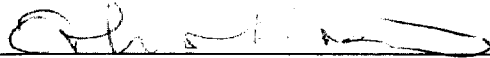
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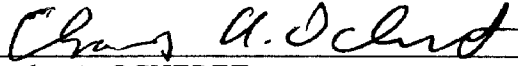
Date



Cliff M. GERRISH



Othar HANSSON



Charles A. OCHERET