

FORM PTO-1595 (modified)

(Rev 6-93)

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11-01-2000



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U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

R SHEET

To the Director of the United States Patent and Trademark Office

the attached original documents or copies thereof.

1. Name of conveying party(ies):

Gary Alan KEMP II
Jens-Uwe SCHLUETTER

10-2-00

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

TRADING TECHNOLOGIES INTERNATIONAL,
INC.
1603 Orrington Avenue, Suite 1300
Evanston, IL 60201

Additional conveying party(ies)

NO

3. Nature of conveyance:

ASSIGNMENT

Execution Date:

August 25, 2000

Additional name(s) & address(es) attached? NO

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

If this is being filed together with a new application, the execution date of the application is:

A. Patent Application Number(s):

09/589,751

B. Patent Number(s):

Additional numbers attached? NO

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

William T. Ellis
FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5109

6. Total number of applications/patents involved: 1

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

☒ Check Enclosed

Charge to deposit account

8. Deposit account number: 19-0741

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. The Commissioner is hereby authorized to charge any additional recordation fees which may be required in this matter to the above-identified deposit account.

William T. Ellis

October 2, 2000

Name of person signing

Signature

Date

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

ASSIGNMENT AND AGREEMENT

WHEREAS, Gary Alan KEMP II of 335 Fairview Avenue, Winnetka, IL 60093, and **Jens-Uwe SCHLUETTER** of 2320 Grey, Evanston, IL 60201, (hereinafter referred to singly and collectively as "ASSIGNOR") have invented a certain invention entitled **CLICK BASED TRADING WITH MARKET DEPTH DISPLAY** (Atty. Dkt. No. 024051/0103) for which an application for United States Letters Patent was filed on June 9, 2000 as Application No. 09/589751; and

WHEREAS, TRADING TECHNOLOGIES INTERNATIONAL, INC., a corporation duly organized and existing under the laws of the State of Illinois, and having its principal place of business at 1603 Orrington Avenue, Suite 1300, Evanston, IL 60201 (hereinafter referred to as "ASSIGNEE") is desirous of acquiring the entire interest therein;

NOW THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, ASSIGNOR has sold, assigned, and transferred, and by these presents hereby sells, assigns, and transfers, unto ASSIGNEE, its successors and assigns, the full and exclusive right, title, and interest in and to (a) the above-identified invention or inventions and all improvements and modifications thereof, (b) the above-identified application and all other applications for Letters Patent of the United States and countries foreign thereto for the above-identified invention or inventions and all improvements and modifications thereof, (c) all Letters Patent which may issue from said applications in the United States and countries foreign thereto, (d) all divisions, continuations, reissues, and extensions of said applications and Letters Patent, and (e) the right to claim for any of said applications the full benefits and priority rights under the International Convention and any other international agreement to which the United States adheres; such right, title, and interest to be held and enjoyed by ASSIGNEE, its successors and assigns, to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by ASSIGNOR had this Assignment not been made.

ASSIGNOR HEREBY AUTHORIZES AND REQUESTS the Commissioner of Patents and Trademarks to issue said Letters Patent to ASSIGNEE as assignee of the entire interest, for the sole use and benefit of ASSIGNEE, its successors and assigns.

ASSIGNOR HEREBY AGREES (a) to communicate to ASSIGNEE, its successors and assigns, or their representatives or agents, all facts and information known or available to ASSIGNOR respecting said invention or inventions, improvements, and modifications including evidence for interference, reexamination, reissue, opposition, revocation, extension, or infringement purposes or other legal, judicial, or administrative proceedings, whenever requested by ASSIGNEE; (b) to testify in person or by affidavit as required by ASSIGNEE, its successors and assigns, in any such proceeding in the United States or a country foreign thereto; (c) to execute and deliver, upon request by ASSIGNEE, all lawful papers including, but not limited to, original, divisional, continuation, and reissue applications, renewals, assignments, powers of attorney, oaths, affidavits, declarations, depositions; and (d) to provide all reasonable assistance to ASSIGNEE, its successors and assigns, in obtaining and enforcing proper title in and protection for said invention or inventions, improvements, and modifications under the intellectual property laws of the United States and countries foreign thereto.

ASSIGNOR HEREBY REPRESENTS AND WARRANTS that ASSIGNOR has the full and unencumbered right to sell, assign, and transfer the interests sold, assigned, and transferred herein, and that ASSIGNOR has not executed and will not execute any document or instrument in conflict herewith.

ASSIGNOR HEREBY GRANTS to the law firm of **Foley & Lardner** the power and authority to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

ASSIGNOR UNDERSTANDS AND AGREES that the attorneys and agents of the law firm of **Foley & Lardner** do not personally represent ASSIGNOR or ASSIGNOR's legal interests, but instead represent the interests of ASSIGNEE; since said attorneys and agents cannot provide legal advice to ASSIGNOR with respect to this Assignment, ASSIGNOR acknowledges its right to seek its own independent legal counsel.

Executed this 25 day of August, 2000.



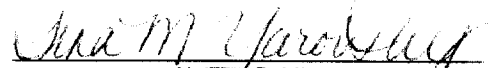
Gary Alan KEMP II

State of Illinois)
County of Cook) ss.

On this 25th day of August, 2000, before me, a notary public in and for said county, appeared Gary Alan KEMP II, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.



(Seal)



Notary Public
My Commission Expires: 4/2/2002

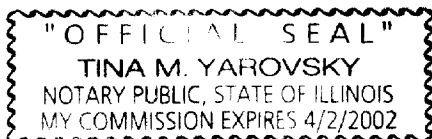
Executed this 25 day of August, 2000.



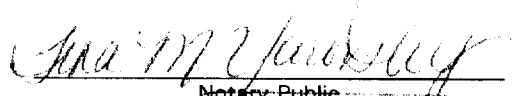
Jens-Uwe SCHLUETTER

State of Illinois)
County of Cook) ss.

On this 25th day of August, 2000, before me, a notary public in and for said county, appeared Jens-Uwe SCHLUETTER, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.



(Seal)



Notary Public
My Commission Expires: 4/2/2002