

01-26-2001



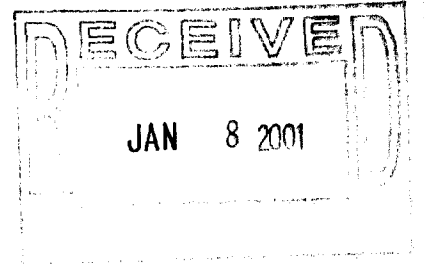
RECOR

101595033
PATENTS ONLY

1.8.01

Docket No. 3499-86

Commissioner for Patents
Box Assignment
Washington, DC 20231



Please record the attached original documents or copy thereof.

1. Name of conveying parties:

Andrew F. Silverman
Matthew Lavicka
David W. Ngai

2. Name and address of receiving parties:

Goldman Sachs & Co.
One New York Plaza
New York, NY 10004

3. Nature of Conveyance:

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

Execution Date: November 16, 2000

4. Application number: **09/680,771**

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

01/25/2001 GTON11 00000144 500521 09680771
01 FC:581 40.00 CH

Date of Deposit January 4, 2001

I hereby certify under 37 CFR 1.8(a) that this correspondence is being deposited with the United States Postal Service as **first class mail** with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Box Assignment, Washington, DC 20231.

Carol Felenstein

Carol Felenstein

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

Joseph P. Kincart, Esq.
CLIFFORD CHANCE ROGERS & WELLS LLP
200 Park Avenue, 53rd Floor
New York, New York 10166

6. Total number of applications and patents involved: **1**

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

☐ Enclosed

☒ Authorized to charge to Deposit Account.

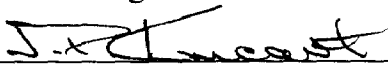
8. Deposit Account Number: **50-0521**

If the fee above is being charged to deposit account, a duplicate copy of this cover sheet is attached. Please apply any additional charges, or any credits, to our Deposit Account 50-0521.

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.

Joseph P. Kincart
Name of Person signing

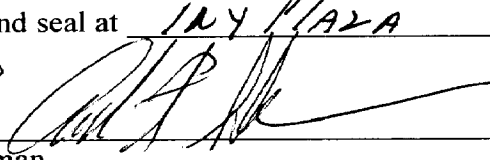

Signature

1/4/01
Date

Total number of pages comprising cover sheet [2]

ASSIGNMENT

For valuable consideration, I, Andrew F. Silverman of New York, New York, hereby assign to Goldman Sachs & Co., having a place of business at One New York Plaza, New York, New York 10004, and its successors and assigns (collectively hereinafter call "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by me, entitled ORDER CENTRIC TRACKING SYSTEM AND PROTOCOL FOR COMMUNICATIONS WITH HANDHELD TRADING UNITS, filed herewith, and this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and I authorize the Assignee to apply in all countries in my name or in its own name for said inventions and improvements; and I agree for me and my respective heirs, legal representatives and assigns, without further compensation, to perform such lawful acts and to sign further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at 124 PLAZA,
this 16 day of Nov, 2000

Andrew F. Silverman

STATE OF New York:
COUNTY OF New York:SS.

Before me this 16 day of November, 2000, personally appeared _____
_____ known to me to be the person whose name is subscribed to the foregoing Assignment,
and acknowledged that he/she executed the same as his/her free act and deed for the purposes therein
contained.


Notary Public

My Commission Expires: 9-8-01

EILEEN M. LAUB
Notary Public, State of New York
No. 01LA5084669
Qualified in Richmond County
Certificate Filed in New York County
Commission Expires Sept. 8, 2001

[Notary's Seal Here]

ASSIGNMENT

For valuable consideration, I, Matthew Lavicka of New York, New York, hereby assign to Goldman Sachs & Co., having a place of business at One New York Plaza, New York, New York 10004, and its successors and assigns (collectively hereinafter call "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by me, entitled **ORDER CENTRIC TRACKING SYSTEM AND PROTOCOL FOR COMMUNICATIONS WITH HANDHELD TRADING UNITS**, filed herewith, and this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and I authorize the Assignee to apply in all countries in my name or in its own name for said inventions and improvements; and I agree for me and my respective heirs, legal representatives and assigns, without further compensation, to perform such lawful acts and to sign further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this 16 day of Nov., 2000

Matthew Lavicka
Matthew Lavicka

STATE OF New York :
COUNTY OF New York : ss.

Before me this 5 day of December, 2000, personally appeared MATTHEW LAVICKA known to me to be the person whose name is subscribed to the foregoing Assignment, and acknowledged that he/she executed the same as his/her free act and deed for the purposes therein contained.

Janet A. Gardell
Notary Public

My Commission Expires: 3/27/01

[Notary's Seal Here]

Janet A. Gardell
Notary Public State of New York
No. 01GA5041080 Qualified in Richmond County
Certificate Filed in New York County
Commission Expires 3/27/01

ASSIGNMENT

For valuable consideration, I, David W. Ngai of New York, New York, hereby assign to Goldman Sachs & Co., having a place of business at One New York Plaza, New York, New York 10004, and its successors and assigns (collectively hereinafter call "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by me, entitled **ORDER CENTRIC TRACKING SYSTEM AND PROTOCOL FOR COMMUNICATIONS WITH HANDHELD TRADING UNITS**, filed herewith, and this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and I authorize the Assignee to apply in all countries in my name or in its own name for said inventions and improvements; and I agree for me and my respective heirs, legal representatives and assigns, without further compensation, to perform such lawful acts and to sign further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,

this 16 day of Nov., 2000.

David W. Ngai
David W. Ngai

STATE OF New York:

:ss.

COUNTY OF New York:

Before me this 5th day of December, 2000, personally appeared DAVID

Ngai known to me to be the person whose name is subscribed to the foregoing Assignment, and acknowledged that he/she executed the same as his/her free act and deed for the purposes therein contained.

Janet A. Gardell
Notary Public

My Commission Expires: 3/27/01

Janet A. Gardell
Notary Public State of New York
No. 01GA5041080 Qualified in Richmond County
Certificate Filed in New York County
Commission Expires 3/27/01

[Notary's Seal Here]

NYB 1184972.1

RECORDED: 01/08/2001

PATENT
REEL: 011448 FRAME: 0236