

03-26-2002

Form PTO-1595 (Rev. 03/01) R  
MAR 20 2002 (exp. 5/31/2002)



U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

102030535

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

1. Name of conveying party(ies): **3-20-02**  
Edward R. Howorka James Shu  
Neena Jain Michael S. Merold  
Steven Iaccheo Alastair G. Crane  
Vladimir Neyman Srivathsan Krishnasami  
Additional name(s) of conveying party(ies) attached?  Yes  No

2. Name and address of receiving party(ies)  
Name: EBS Service Company Limited  
Internal Address: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
  
55-56 Lincoln's Inn Fields  
London WC2A 3LJ  
England  
  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Zip: \_\_\_\_\_  
  
Additional name(s) & address(es) attached:  Yes  No

3. Nature of Conveyance:  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Other \_\_\_\_\_

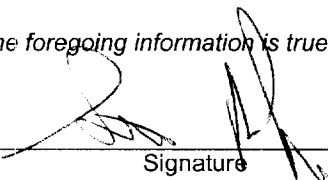
Execution Date: 11/6/01, 11/6/01, 11/6/01, 3/11/02, 12/25/01, 11/13/01, 11/7/01, 11/2/01, 11/1/01, 11/2/01, 3/6/02 respectively

4. Application number(s) or patent number(s):  
If this document is being filed together with a new application, the execution date of the new application is: \_\_\_\_\_  
A. Patent Application No.(s):  
09/896,220  
B. Patent No.(s): \_\_\_\_\_  
  
Additional numbers attached?  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:  
Name: Steven Rubin  
DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP  
Internal Address: Atty. Dkt.:E3879.0026  
Street Address: 1177 Avenue of the Americas  
41st Floor  
  
City: New York State: NY Zip: 10036-2714

6. Total number of applications and patents involved: 1  
7. Total fee (37 CFR 3.41) \$ 40.00  
 Enclosed  
 Authorized to be charged to deposit account  
8. Deposit account number:  
04-1073  
(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.*  
  
Steven Rubin  March 19, 2002  
Name of Person Signing Signature Date

Total number of pages including cover sheet, attachments, and documents: 22

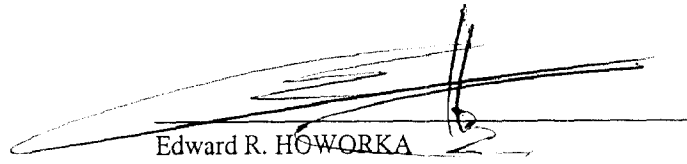
03/22/2002 BARBARA1 00000042 09896220  
01 FC:581 40.00 OP

WHEREAS, We, Edward R. HOWORKA, Neena JAIN, Steven IACCHEO, Vladimir NEYMAN, James SHU, Michael S. MEROLD, Alastair G. CRANE, Srivathsan KRISHNASAMI, Roy S. McPHERSON, Paul S. GINSBERG and Gregory D. MILLS, as assignors, have invented certain improvements in CREDIT LIMIT STORAGE IN AN ANONYMOUS TRADING SYSTEM for which an application for United States Letters Patent was filed in the U.S. Patent and Trademark Office on June 29, 2001 as U.S. Application Serial No. 09/896,220; and

WHEREAS, Electronic Broking Services Limited, an English Limited Company, having its principal place of business at 55-56 Lincolns Inn Fields, London WC2A 3LJ, ENGLAND, as assignee, is desirous of acquiring all right, title and interest in and to said invention and any Patent that may be granted therefor.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, We, as assignors, hereby sell, assign and set over to said assignee the entire right, title and interest for the United States and all other countries in and to said invention and the aforesaid application for Patent, all original, divisional, continuation, substitute or reissue applications and patents applied for or granted therefor in the United States and all other countries, including all rights of priority from the filing of said application, and all rights for past infringement, and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said inventions or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for ourselves and our legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all divisional, continuation, reissue and other applications for Patent on said inventions and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said inventions, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to assist assignee, its successors, assigns and nominees to obtain patent protection for said invention in the United States and all other countries, the expenses incident to said applications to be borne and paid by said assignee.

Date: Nov 6 2001

  
Edward R. HOWORKA

Date: \_\_\_\_\_

\_\_\_\_\_  
Neena JAIN

Date: \_\_\_\_\_

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Steven IACCHEO

Date: \_\_\_\_\_

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Vladimir NEYMAN

Date: \_\_\_\_\_

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James SHU

Date: \_\_\_\_\_

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Michael S. MEROLD

Date: \_\_\_\_\_

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Alastair G. CRANE

Date: \_\_\_\_\_

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Srivathsan KRISHNASAMI

Date: \_\_\_\_\_

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Roy S. McPHERSON

Date: \_\_\_\_\_

\_\_\_\_\_  
Paul M. GINSBERG

Date: \_\_\_\_\_

\_\_\_\_\_  
Gregory D. MILLS

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Date: \_\_\_\_\_

\_\_\_\_\_  
Edward R. HOWORKA

Date: 11/6/01

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*Neena Jain*  
Neena JAIN

Date: \_\_\_\_\_

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Steven IACCHEO

Date: \_\_\_\_\_

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Vladimir NEYMAN

Date: \_\_\_\_\_

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James SHU

Date: \_\_\_\_\_

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Michael S. MEROLD

Date: \_\_\_\_\_

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Alastair G. CRANE

Date: \_\_\_\_\_

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Srivathsan KRISHNASAMI

Date: \_\_\_\_\_

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Roy S. McPHERSON

Date: \_\_\_\_\_

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Paul M. GINSBERG

Date: \_\_\_\_\_

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Date: \_\_\_\_\_

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Edward R. HOWORKA

Date: \_\_\_\_\_

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Neena JAIN

Date: 11/6/01 \_\_\_\_\_

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*Steven Iacchio*  
Steven IACCHEO

Date: \_\_\_\_\_

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Vladimir NEYMAN

Date: \_\_\_\_\_

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James SHU

Date: \_\_\_\_\_

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Michael S. MEROLD

Date: \_\_\_\_\_

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Alastair G. CRANE

Date: \_\_\_\_\_

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Srivathsan KRISHNASAMI

☒ Continued on Page 2

WHEREAS, I, Vladimir Neyman, am a co-inventor of certain inventions (the "Inventions") in CREDIT LIMIT STORAGE IN AN ANONYMOUS TRADING SYSTEM which are described in an application for United States Letters Patent which was filed on June 29, 2001 as U.S. Application Serial No. 09/896,220 (the "Application"); and

WHEREAS, Electronic Broking Services Limited, an English Limited Company having its principal place of business at 55-56 Lincoln's Inn Fields, London WC2A 3LJ, ENGLAND, as assignee, is desirous of acquiring all and any right, title and interest that I may have in and to said Inventions and any patents that may be granted therefore.

NOW, THEREFOR, in consideration of two thousand five hundred Dollars (\$2,500), the receipt of which is hereby acknowledged, I, Vladimir Neyman, as assignor, hereby sell, assign and set over to said assignee any and all right, title and interest I possess in the Inventions for the United States and all other countries, including, but not limited to, my rights in the Application and all other original, divisional, continuation, substitute or reissue applications and patents applied for or granted for one or more of the Inventions in the United States and all other countries, including all rights or priority from the filing of said Application, and all rights for past infringement, and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on one or more of said Inventions or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for myself and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all divisional, continuation, reissue and other applications for patent on one or more of said Inventions and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said Inventions, whenever requested, to testify in any interferences or other legal proceedings in which said Application or any other applications or patents for one or more of said Inventions may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to assist assignee, its successors, assigns and nominees to obtain patent protection for one or more of said Inventions in the United States and all other countries, the expenses incident to said applications to be borne and paid by said assignee.

Date: 3/11/02

Vladimir Neyman  
VLADIMIR NEYMAN

STATE OF )  
                  ) ss.:  
COUNTRY )

This 11<sup>th</sup> day of March, 20 02, before me personally came the above-named Vladimir Neyman, to me personally known as the individual who executed the foregoing instrument, who acknowledged to me that the same was executed by him of his own free will for the purposes therein set forth.

Jason Aybar  
Notary Public - Seal  
JASON AYBAR  
Notary Public, State of New York  
No. 01AY6041347  
Qualified in Richmond County  
Commission Expires 5/08/2002

WHEREAS, We, Edward R. HOWORKA, Neena JAIN, Steven IACCHEO, Vladimir NEYMAN, James SHU, Michael S. MEROLD, Alastair G. CRANE, Srivathsan KRISHNASAMI, Roy S. McPHERSON, Paul S. GINSBERG and Gregory D. MILLS, as assignors, have invented certain improvements in CREDIT LIMIT STORAGE IN AN ANONYMOUS TRADING SYSTEM for which an application for United States Letters Patent was filed in the U.S. Patent and Trademark Office on June 29, 2001 as U.S. Application Serial No. 09/896,220; and

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Date: \_\_\_\_\_

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Edward R. HOWORKA

Date: \_\_\_\_\_

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Neena JAIN

Date: \_\_\_\_\_

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Steven IACCHEO

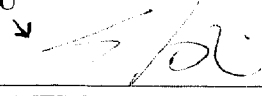
Date: \_\_\_\_\_

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Vladimir NEYMAN

Date: \_\_\_\_\_

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James SHU

Date: Dec. 28, 2001

  
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Michael S. MEROLD

Date: \_\_\_\_\_

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Alastair G. CRANE

Date: \_\_\_\_\_

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Srivathsan KRISHNASAMI

Continued on Page 2



Date: \_\_\_\_\_

\_\_\_\_\_  
Roy S. McPHERSON

Date: \_\_\_\_\_

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Paul M. GINSBERG

Date: \_\_\_\_\_

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Gregory D. MILLS

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Edward R. HOWORKA

Date: \_\_\_\_\_

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Neena JAIN

Date: \_\_\_\_\_

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Steven IACCHEO

Date: \_\_\_\_\_

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Vladimir NEYMAN

Date: \_\_\_\_\_

\_\_\_\_\_  
James SHU

Date: 11/13/2001

  
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Michael S. MEROLD

Date: \_\_\_\_\_

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Alastair G. CRANE

Date: \_\_\_\_\_

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Srivathsan KRISHNASAMI

Date: \_\_\_\_\_

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Roy S. McPHERSON

Date: \_\_\_\_\_

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Date: \_\_\_\_\_

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Neena JAIN

Date: \_\_\_\_\_

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Date: \_\_\_\_\_

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Vladimir NEYMAN

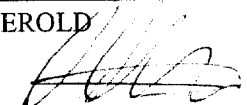
Date: \_\_\_\_\_

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James SHU

Date: \_\_\_\_\_

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Michael S. MEROLD

Date: 7/16/01

  
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Alastair G. CRANE

Date: \_\_\_\_\_

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Srivathsan KRISHNASAMI

Date: \_\_\_\_\_

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Roy S. McPHERSON

Date: \_\_\_\_\_

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Date: \_\_\_\_\_

\_\_\_\_\_  
Edward R. HOWORKA

Date: \_\_\_\_\_

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Neena JAIN

Date: \_\_\_\_\_

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Steven IACCHEO

Date: \_\_\_\_\_

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Vladimir NEYMAN

Date: \_\_\_\_\_

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James SHU

Date: \_\_\_\_\_

\_\_\_\_\_  
Michael S. MEROLD

Date: \_\_\_\_\_

\_\_\_\_\_  
Alastair G. CRANE

Date: 2 November 2001

  
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Srivathsan KRISHNASAMI

Date: \_\_\_\_\_

\_\_\_\_\_  
Roy S. McPHERSON

Date: \_\_\_\_\_

\_\_\_\_\_  
Paul M. GINSBERG

Date: \_\_\_\_\_

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WHEREAS, We, Edward R. HOWORKA, Neena JAIN, Steven IACCHEO, Vladimir NEYMAN, James SHU, Michael S. MEROLD, Alastair G. CRANE, Srivathsan KRISHNASAMI, Roy S. McPHERSON, Paul S. GINSBERG and Gregory D. MILLS, as assignors, have invented certain improvements in CREDIT LIMIT STORAGE IN AN ANONYMOUS TRADING SYSTEM for which an application for United States Letters Patent was filed in the U.S. Patent and Trademark Office on June 29, 2001 as U.S. Application Serial No. 09/896,220; and

WHEREAS, Electronic Broking Services Limited, an English Limited Company, having its principal place of business at 55-56 Lincolns Inn Fields, London WC2A 3LJ, ENGLAND, as assignee, is desirous of acquiring all right, title and interest in and to said invention and any Patent that may be granted therefor.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, We, as assignors, hereby sell, assign and set over to said assignee the entire right, title and interest for the United States and all other countries in and to said invention and the aforesaid application for Patent, all original, divisional, continuation, substitute or reissue applications and patents applied for or granted therefor in the United States and all other countries, including all rights of priority from the filing of said application, and all rights for past infringement, and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said inventions or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for ourselves and our legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all divisional, continuation, reissue and other applications for Patent on said inventions and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said inventions, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to assist assignee, its successors, assigns and nominees to obtain patent protection for said invention in the United States and all other countries, the expenses incident to said applications to be borne and paid by said assignee.

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Edward R. HOWORKA

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Neena JAIN

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Steven IACCHEO

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Vladimir NEYMAN

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James SHU

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Michael S. MEROLD

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Alastair G. CRANE

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Srivathsan KRISHNASAMI



Date: 1 NOV 2001

  
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Roy S. McPHERSON

Date: \_\_\_\_\_

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Paul M. GINSBERG

Date: \_\_\_\_\_

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Gregory D. MILLS

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Alastair G. CRANE

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Srivathsan KRISHNASAMI

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Date: \_\_\_\_\_

Date: 02 November 2001

Date: \_\_\_\_\_

Roy S. McPHERSON

Paul M. GINSBERG

Gregory D. MILLS

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Srivathsan KRISHNASAMI

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Roy S. McPHERSON

Date: \_\_\_\_\_

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Paul M. GINSBERG

Date: 6 MAR 2002

  
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Gregory D. MILLS

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