

10-20-2003

Tab settings

To the Honorable Commissioner of P

ed original documents or copy thereof.

1. Name of conveying party(ies):

Scott Johnston
John Falck
Charlie Troxel, Jr.
James W. Farrell
Agnes Shanthi Thiruthuvadoss
Arjuna Ariathurai
David Salvadori

2. Name and address of receiving party(ies)

Name: Chicago Mercantile Exchange, Inc.

Internal Address:

Street Address: 30 South Wacker Drive

City: Chicago State: IL Zip: 60606

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

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

3. Nature of conveyance:

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

Execution Date: 9/25/03, 9/26/03 and 9/29/03

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: 9/25/03, 9/26/03 and 9/29/03

A. Patent Application No.(s)

B. Patent No.(s)

10/676318

Additional numbers attached? ☐ Yes ☒ No

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

Name: Banner & Witcoff, Ltd.

Internal Address:

Street Address: 10 South Wacker Drive

Suite 3000

City: Chicago State: IL Zip: 60606

6. Total number of applications and patents involved: 01

7. Total fee (37 CFR 3.41) \$ 40

- ☐ Enclosed
☒ Authorized to be charged to deposit account

8. Deposit account number:

19-0733

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

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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.

Charles L. Miller

Name of Person Signing

Signature

October 1, 2003

Date

10/17/2003 ECOOPER 00000013 190733 10676318

01 FC:8021

40.00 DA

ASSIGNMENT

WHEREAS, we,

Scott Johnston
1031 Woodbine
Oak Park, Illinois 60302

John Falck
1109 West Webster, #2
Chicago, Illinois 606014

Charlie Troxel, Jr.
1516 Cascade Court
Naperville, Illinois 60565

James W. Farrell
684 Larch Drive
Carol Stream, Illinois 60188

Arjuna Ariathurai
3627 N. Marshfield Ave.
Chicago, Illinois 60613

Agnes Shanthi Thiruthuvadoss
33 West Huron, #314
Chicago, Illinois 60613

David Salvadori
176 Dallas Drive
Bartlett, Illinois 60103

(ASSIGNORS), are the inventors of certain inventions and improvements described in a U.S. patent application and having the title

ORDER RISK MANAGEMENT SYSTEM

which application was

executed on 9/25/03, 9/26/03 and 9/29/03 or

filed on _____ and assigned application serial number _____;

and WHEREAS

Chicago Mercantile Exchange, Inc.
30 South Wacker Drive
Chicago, Illinois 60606

ASSIGNEE, desires to acquire the entire right, title and interest in and to the said application, inventions and improvements and any patents that may be granted on or as a result thereof in the United States of America (U.S.) and in any and all foreign countries;

NOW, THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged,


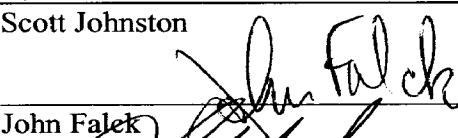
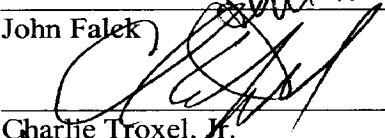
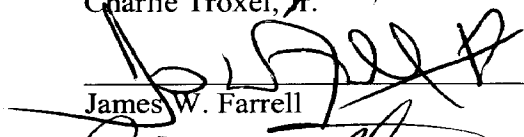
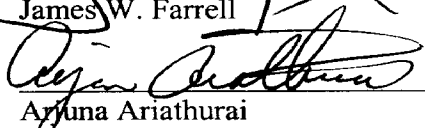
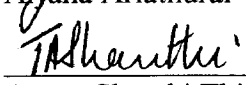
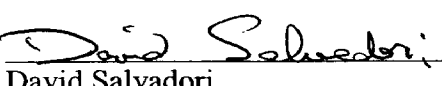
We hereby assign, to the above named ASSIGNEE, its successors, assigns and legal representatives (NOMINEES) the entire right, title and interest in and to said application, inventions and improvements throughout the world and to any and all patents, petty patents and utility model patents which may be granted therefor, and all continuations, continuations-in-part, divisions, reissues, extensions, renewals, and any non-provisional based on a provisional thereof (LETTERS PATENT).

And we covenant that we have full right to convey the entire interest herein assigned, and that we have not executed and will not execute any agreement or do anything in conflict herewith;

And we further covenant and agree that we will without undue delay execute without further consideration all such papers as may be necessary to perfect the title to said application, inventions and improvements, and LETTERS PATENT in the ASSIGNEE or its NOMINEES, and we agree to communicate to said ASSIGNEE or its NOMINEES all known facts respecting said application, inventions, improvements, and LETTERS PATENT, to testify in any legal proceedings, to sign all lawful papers, and generally to do all things necessary to aid ASSIGNEE or its NOMINEES to obtain and enforce for their own benefit patent protection for said application, inventions and improvements in any and all countries, all at the expense, however, of the ASSIGNEE or its NOMINEES;

And we authorize the ASSIGNEE or its NOMINEES to file in our names or their own, as appropriate, application for LETTERS PATENT in any and all countries of the world, and we authorize and request the Commissioner of Patents and Trademarks of the United States, and any proper official of any country, to issue to said ASSIGNEE or its NOMINEES any and all LETTERS PATENT for said application, inventions and improvements, for their sole use, to the full end of the term for which such LETTERS PATENT may be granted;

And we hereby grant the attorneys at the law firm of Banner & Witcoff the power to insert into this document information sufficient to identify the patent application to which this assignment pertains.

Date: <u>9/25/03</u>	Inventor: <u></u> Scott Johnston
Date: <u>9/26/03</u>	Inventor: <u></u> John Falek
Date: <u>9/26/03</u>	Inventor: <u></u> Charlie Troxel, Jr.
Date: <u>9-29-03</u>	Inventor: <u></u> James W. Farrell
Date: <u>9/25</u>	Inventor: <u></u> Arjuna Ariathurai
Date: <u>9/25/03</u>	Inventor: <u></u> Agnes Shanthi Thiruthuvadoss
Date: <u>9/25/03</u>	Inventor: <u></u> David Salvadori

Note: No legalization or other witness required.

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