

01-14-2004

Docket No. 03-971

FORM PTO-1595

RE

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

102645333

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

1. Name of conveying party(ies):

Neal Brady
Tom Paronis
Christopher S. Whittington
Paul A. Schmid
Jon-DahlAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: **Liquidity Direct Technology, LLC**
Address: **141 West Jackson Boulevard, Ste. 1770**City: **Chicago** State: **Illinois**Country: **U.S.A.** Zip: **60604**

3. Nature of conveyance:

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

Execution Date: January 7, 2004

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

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:

A. Patent Application No.(s)

Filing Date

B. Patent No.(s)

10/726,851

12/02/2003

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Robert J. Irvine III**Registration No.: **41,865**Company Name: **McDonnell, Boehnen, Hulbert & Berghoff**Street Address: **300 South Wacker Drive - 32nd Floor**City: **Chicago** State: **Illinois**Country: **U.S.A.** ZIP: **60606**

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:

13-2490

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.***Robert J. Irvine III**

Printed Name of Person Signing

Signature

Date: January 8, 2004

Total number of pages including cover sheet, attachments, and document: 7

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services

Director of the United States Patent and Trademark Office

PO Box 1450

Alexandria, Virginia 22313-1450

01/13/2004 EC00PER 00000240 10726851

01-FC-8021

40.00 DP

PATENT
REEL: 014869 FRAME: 0106

ASSIGNMENT

Case No.: MBHB-03-971

Serial No.: 10/726,851

Inventors: Neal Brady, Tom Paronis, Christopher S. Whittington, Paul A. Schmid, and Jon Dahl

Date of Execution

of Application:

Filing Date: December 2, 2003

In consideration of One Dollar (\$1.00) and other good and valuable considerations in hand paid, the receipt and sufficiency whereof are hereby acknowledged, the undersigned hereby assign to:

Liquidity Direct Technology, LLC

its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in an application for Letters Patent of the United States, entitled:

METHOD AND SYSTEM FOR PROVIDING OPTION SPREAD INDICATIVE QUOTES

and identified as:

Serial No.: 10/726,851

in the US Patent Office and in said application and any and all other applications, both United States and foreign, which the undersigned may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained on any of said applications, and in any reissue or extension of such patents, and further assigns to said assignee the priority right provided by the International Convention.

The undersigned hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said assignee.

The undersigned warrant themselves to be the owners of the entire right, title and interest in said invention or improvements and to have the right to make this assignment, and further warrant that there are no outstanding prior assignments, licenses, or other encumbrances on the interest herein assigned.

For said considerations the undersigned hereby agree, upon the request and at the expense of said assignee, its successors and assigns, to execute any and all divisional, continuation and substitute applications for said invention or improvements, and any necessary oath, affidavit or declaration relating thereto, and any application for the reissue or extension of any Letters Patent that may be granted upon said application and any and all applications and other documents for Letters Patent in foreign countries on said invention or improvements, that said assignee, its successors or assigns may deem necessary or expedient, and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper and further agree, upon the request of said assignee, its successors and assigns, to cooperate to the best of the ability of the undersigned with said assignee, its successors and assigns, in any proceedings or transactions involving such applications or patents, including the preparation and execution of preliminary statements, giving and producing evidence, and performing any and all other acts necessary to obtain, maintain and enforce said Letters Patent, both United States and foreign, and vest all rights therein hereby conveyed in the assignee, its successors and assigns, whereby said Letters Patent will be held and enjoyed by the said assignee, its successors and assigns, to the full end of the term for which said Letters Patent will be granted, as fully and entirely as the same would have been held and enjoyed by the undersigned if this assignment had not been made.

WITNESS my hand and seal this 7th day of JANUARY, 2004.

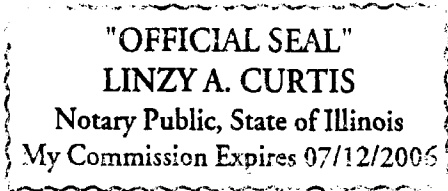
Neal Brady
NEAL BRADY

State of Illinois

County of Cook

The foregoing instrument was acknowledged before me this 7 day of
JANUARY, 2004 by

Linz A. Curtis
NOTARY PUBLIC



WITNESS my hand and seal this ___ day of _____, _____.

TOM PARONIS

State of

County of

The foregoing instrument was acknowledged before me this _____ day of
_____, _____ by

NOTARY PUBLIC

WITNESS my hand and seal this ____ day of _____,

NEAL BRADY

State of _____

County of _____

The foregoing instrument was acknowledged before me this ____ day of

_____, _____ by _____

NOTARY PUBLIC

WITNESS my hand and seal this 7 day of Jan, 2004.

TOM PARONIS

State of _____

County of _____

The foregoing instrument was acknowledged before me this ____ day of

_____, _____ by _____

NOTARY PUBLIC

WITNESS my hand and seal this 7 day of January, 2004.

Chris S. Whittington

CHRISTOPHER S. WHITTINGTON

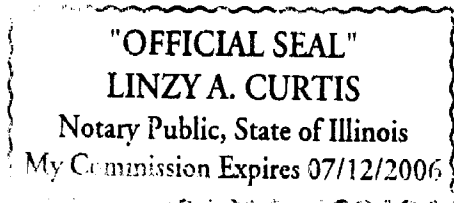
State of Illinois
County of Cook

The foregoing instrument was acknowledged before me this 7 day of

January, 2004 by

Lizy A. Curtis

NOTARY PUBLIC



WITNESS my hand and seal this ___ day of _____, _____.

PAUL A. SCHMID

State of _____
County of _____

The foregoing instrument was acknowledged before me this _____ day of

_____, _____ by

NOTARY PUBLIC

WITNESS my hand and seal this ___ day of _____, _____.

JON DAHL

State of _____
County of _____

The foregoing instrument was acknowledged before me this _____ day of

_____, _____ by

NOTARY PUBLIC

WITNESS my hand and seal this __ day of _____, _____.

CHRISTOPHER S. WHITTINGTON

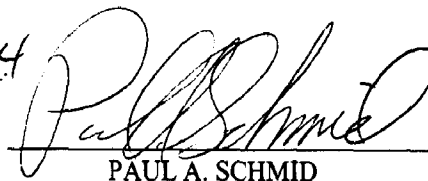
State of _____
County of _____

The foregoing instrument was acknowledged before me this ____ day of _____,

_____, _____ by _____

NOTARY PUBLIC

WITNESS my hand and seal this 7th day of JAN, 2004



PAUL A. SCHMID

State of Illinois
County of Cook

The foregoing instrument was acknowledged before me this 7 day of _____,

January, 2004 by _____

"OFFICIAL SEAL"
LINZY A. CURTIS
Notary Public, State of Illinois
My Commission Expires 07/12/2006



NOTARY PUBLIC

WITNESS my hand and seal this __ day of _____, _____.

JON DAHL

State of _____
County of _____

The foregoing instrument was acknowledged before me this ____ day of _____,

_____, _____ by _____

NOTARY PUBLIC

WITNESS my hand and seal this ___ day of _____, _____.

CHRISTOPHER S. WHITTINGTON

State of _____
County of _____

The foregoing instrument was acknowledged before me this _____ day of

_____, _____ by

NOTARY PUBLIC

WITNESS my hand and seal this ___ day of _____, _____.

PAUL A. SCHMID

State of _____
County of _____

The foregoing instrument was acknowledged before me this _____ day of

_____, _____ by

NOTARY PUBLIC

WITNESS my hand and seal this 6 day of Jan, 2004.

State of Illinois
County of Cook

Jon Dahl
JON DAHL

The foregoing instrument was acknowledged before me this 7 day of

January, 2004 by

Linzy A. Curtis
NOTARY PUBLIC

"OFFICIAL SEAL"

LINZY A. CURTIS

Notary Public, State of Illinois

My Commission Expires 07/12/2006

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