

05-12-2004

PATENTS ONLY
4672/369

TO TI



ATENTS

102743354

5.704

Please record the attached original document or copy thereof.

1. Name of Party(ies) conveying an interest:

Liquidity Direct Technology, LLC

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and Address of Party(ies) receiving an interest:

Name: Chicago Mercantile Exchange, Inc.
Internal Address:
Street Address: 20 South Wacker Drive
City: Chicago
State/Zip: Illinois/60606-7499

Additional name(s) and addresses attached?

☐ Yes ☒ No

3. Description of the interest conveyed:

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

Execution Date: April 30, 2004

4. Application number(s) or patent number(s). Additional sheet attached? ☐ Yes ☒ No

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

Date

A. Patent Application No.(s)
10/726,851

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, IL 60610
(312)321-4200

6. Number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00
☒ Enclosed
☐ Authorized to be charged to Deposit Account No. 23-1925
8. ☒ Please charge any deficiencies in fee or credit any overpayment to Deposit Account No. 23-1925.

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.

James L. Katz

Name of Person Signing

Signature

5/5/04
Date

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

05/11/2004 MGETACHE 00000282 10726851

01 FC:8021

40.00 OP

PATENT
REEL: 015308 FRAME: 0705

NUNC PRO TUNC ASSIGNMENT

WHEREAS, Liquidity Direct Technology, LLC, a corporation organized and existing under the laws of the State of Delaware, hereinafter called the "Assignor", is owner of the entire right, title and interest in and to the invention described in the United States patent application entitled METHOD AND SYSTEM FOR PROVIDING OPTION SPREAD INDICATIVE QUOTES, for a full description of which reference is here made to an application for Letters Patent of the United States filed on December 2, 2003, and assigned Application Serial No. 10/726,851;

WHEREAS, Chicago Mercantile Exchange, Inc., a corporation organized and existing under the laws of the State of Delaware, having a place of business at 30 South Wacker Drive, Chicago, Illinois, 60606-7499, hereinafter called the "Assignee", desires to acquire the entire right, title and interest in and to the invention and the patent application identified above, and all patents which may be obtained for said invention, as set forth below;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer to the Assignee Nunc Pro Tunc, effective January 9, 2004, the entire right, title and interest for the United States in and to the invention and the patent application identified above, and any patents that may issue for said invention in the United States; together with the entire right, title and interest in and to said invention and all patent applications and patents therefor in all countries foreign to the United States, including the full right to claim for any such application all benefits and priority rights under any applicable convention; together with the entire right, title and interest in and to all continuations, divisions, renewals and extensions of any of the patent applications and patents defined above; to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns, to the full end of the term or terms for all such patents.

The Assignor hereby covenants and agrees, for both the Assignor and the Assignor's legal representatives, that the Assignor will assist the Assignee in the prosecution of the patent application identified above; in the making and prosecution of any other patent

applications that the Assignee may elect to make covering the invention identified above; in vesting in the Assignee like exclusive title in and to all such other patent applications and patents; and in the prosecution of any interference which may arise involving said invention, or any such patent application or patent; and that the Assignor will execute and deliver to the Assignee any and all additional papers which may be requested by the Assignee to carry out the terms of this Assignment.

The Commissioner of Patents and Trademarks is hereby authorized and requested to issue patents to the Assignee in accordance with the terms of this Assignment.

IN TESTIMONY WHEREOF, the Assignor has executed this agreement.

DATED:

4/30/04

Neal B. Brady
Neal B. Brady
President and Chief Executive Officer
Liquidity Direct Technology, LLC

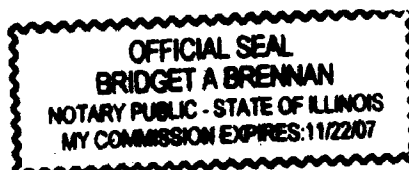
STATE OF Illinois)
COUNTY OF Cook) ss.

I, Bridget A. Brennan, a Notary Public in and for the County and State aforesaid, do hereby certify that Neal B. Brady, personally known to me to be the same person whose name is subscribed to the foregoing instrument, appeared before me this day in person and acknowledged that (s)he signed, sealed and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

IN WITNESS WHEREOF, I have hereunto set my hand and Notarial Seal, this 30th day of April, 2004.

Bridget A. Brennan
Notary Public

My Commission Expires: 11/22/07



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

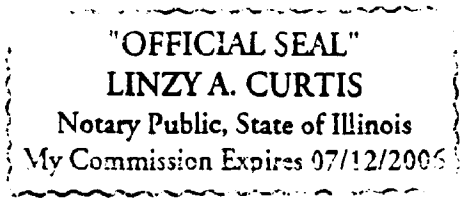
State of Illinois

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
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.

Christopher 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

Linzy A. Curtis
NOTARY PUBLIC

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

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

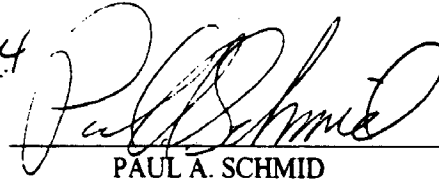
State of _____
County of _____

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

_____, _____ by _____

NOTARY PUBLIC

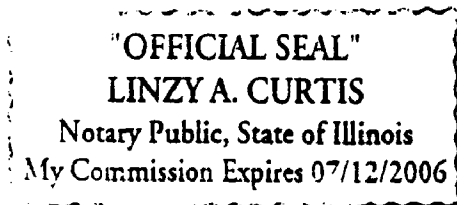
WITNESS my hand and seal this 7th day of JAN, 2004


PAUL A. SCHMID

State of Illinois
County of Cook

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

January, 2004 by _____




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

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

LINZY A. CURTIS
NOTARY PUBLIC

- 3 -

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4/30/04

Neal B. Brady

Neal B. Brady
President and Chief Executive Officer
Liquidity Direct Technology, LLC

STATE OF Illinois)
COUNTY OF Cook) ss.

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IN WITNESS WHEREOF, I have hereunto set my hand and Notarial Seal, this 30th day of April, 2004.

Bridget A. Brennan
Notary Public

My Commission Expires: 11/22/07

