

10-06-2005

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To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)

Burkhardt, Roger
Allen, Anne
McSweeney, Robert
Pastina, Louis G.

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

2. Name and address of receiving party(ies)

Name: New York Stock Exchange

Internal Address: _____

Street Address: 11 Wall Street

City: New York

State: NY

Country: USA

Zip: 10005

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) 9/27/05; 9/23/05; 9/26/05; 9/23/05

- Assignment Merger
- Security Agreement Change of Name
- Joint Research Agreement
- Government Interest Assignment
- Executive Order 9424, Confirmatory License
- Other _____

4. Application or patent number(s):

This document is being filed together with a new application.

A. Patent Application No.(s)

11/183,155

B. Patent No.(s)

Additional numbers attached? Yes No

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

Name: Chris L. Holm

Internal Address: Milbank, Tweed, Hadley & McCloy LLP

Street Address: 1 Chase Manhattan Plaza

City: New York

State: NY

Zip: 10005

Phone Number: 212-540-5734

Fax Number: 212-822-5734

Email Address: cholm@milbank.com

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40

- Authorized to be charged by credit card
- Authorized to be charged to deposit account
- Enclosed
- None required (government interest not affecting title)

8. Payment Information

a. Credit Card Last 4 Numbers _____
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b. Deposit Account Number _____

Authorized User Name _____

9. Signature:

Signature

Date

Chris L. Holm, Esq.
Name of Person Signing

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

5

Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

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PATENT
REEL: 017047 FRAME: 0908

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2005 SEP 30 11 09 AM
FINANCE SECTION

10/05/2005 EDDOPER 0000118 11183155

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ASSIGNMENT OF APPLICATION FOR PATENT

WHEREAS:

Burkhardt, Roger, 220 Taxter Road, Irvington, New York 10533;
Allen, Anne E., 205 Watchung Ave., Cranford, N.J. 07105;
McSweeney, Robert J., 157 Loines Avenue, Merrick, NY 11566; and
Pastina, Louis G., 171 Beach 130th Street, Belle Harbor, NY 11694

(full name(s) and post office address(s) of inventor(s) (including country))

(hereinafter referred to as ASSIGNOR(S)), has made a discovery or invention entitled:

SYSTEM AND METHOD FOR PRESENTING BROKER AND SPECIALIST INTEREST IN A HYBRID
AUCTION MARKET

(title of discovery or invention)

for which application for Letters Patent of the United States has been executed on even date herewith,

for which application for Letters Patent of the United States has been filed on July 15, 2005, under Serial
No. 11/183,155, and

WHEREAS:

New York Stock Exchange, 11 Wall Street, New York, NY 10005

(name and address of assignee)

(hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire interest in, to and under said invention and
in, to and under Letters Patent or similar legal protection to be obtained therefore in the United States and in any and
all foreign countries.

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN:

Be it known that in consideration of good and valuable consideration, the receipt of which is hereby acknowledged,
ASSIGNOR(S) hereby sells, assigns and transfers to ASSIGNEE, its successors, legal representatives and assigns,
the full and exclusive right, title and interest to said discovery or invention in the United States and its territorial
possessions and in all foreign countries and to all Letters Patent or similar legal protection in the United States and
its territorial possessions and in any and all foreign countries to be obtained for said invention by said application or
any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in a foreign country
for the full term or terms for which the same may be granted.

I, SAID ASSIGNOR(S), hereby authorize and request the Commissioner of Patents and Trademarks of the United
States of America and any Official of any country or countries foreign to the United States of America whose duty it
is to issue Letters Patent on applications as aforesaid, to issue all such Letters Patent for said discovery or invention
to the ASSIGNEE, as assignee of the entire right, title and interest in, to and under the same, for the sole use and
behalf of the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this
instrument.

I, SAID, ASSIGNOR(S), hereby covenant that I have full right to convey the entire right, title and interest herein
sold, assigned, transferred and set over;

AND I, SAID ASSIGNOR(S) hereby further covenant and agree that the ASSIGNEE, its successors, legal
representatives, or assigns, may apply for foreign Letters Patent on said discovery or invention and claim the
benefits of the International Convention, and that I will, at any time, when called upon to do so by the ASSIGNEE,
its successors, legal representatives, or assigns, communicate to the ASSIGNEE, its successors, legal
representatives, or assigns, as the case may be, any facts known to me respecting said discover or invention, and
execute and deliver and all lawful papers that may be necessary or desirable to perfect the title to the said discovery
or invention, the said applications and the said Letters Patent in the ASSIGNEE, its successors, legal representatives

and assigns, and that it reissues of the said Letters Patent or disclaimers relating thereto, or divisions, continuations, or re-filings of the said applications, or any thereof, shall hereafter be desired by the ASSIGNEE, its successors, legal representatives, or assigns, sign all lawful papers, make all rightful oaths, execute and deliver all such disclaimers and all divisional, continuation and reissue applications so desired, and do all lawful acts requisite for the application for such reissues and the procuring thereof and for the filing of such disclaimers and such applications, and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said invention or discover in all countries, and without further compensation but at the expense of the ASSIGNEE, its successors, legal representatives and assigns.

Assignor's signature: *Roger Burkhardt*
Roger BURKHARDT

Citizenship: United Kingdom

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 27th day of September, 2005.

STATE OF)

ss.:

COUNTY OF)

NANCY J. GINSBERG
NOTARY PUBLIC, State of New York
No. 01G16048899
Qualified in Richmond County
Commission Expires October 02, 2006

On this 27th day of September, 2005, before me, the undersigned authority, personally appeared to me Roger Burkhardt

known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

Nancy Ginsberg
Notary Public

Assignor's signature: *Anne E. Allen*
Anne E. ALLEN

Citizenship: United States

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 23rd day of September, 2005.

STATE OF NY)

ss.:

COUNTY OF NY)

On this 23 day of September, 2005, before me, the undersigned authority, personally appeared Anne E. Allen

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

Pier Tiedel
Notary Public

Pier Tiedel
Notary Public, State of New York
No. 01T16115336
Qualified in Queens County
Commission Expires September 7, 2008

Assignor's signature: *Robert J. McSweeney*
Robert J. McSWEENEY

Citizenship: United States

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 26th day of September, 2005.

STATE OF NY)

ss.:

COUNTY OF NY)

On this 26th day of September, 2005 before me, the undersigned authority, personally appeared Robert J. McSweeney to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

Rose Tatalone
Notary Public

ROSE TATALONE
NOTARY PUBLIC, State of New York
No. 01TA5067045
Qualified in New York County
Commission Expires Mar. 18, 2006

Assignor's signature: *Louis G. Pastina*
Louis G. PASTINA

Citizenship: United States

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 23rd day of September, 2005.

STATE OF NY)

ss.:

COUNTY OF NY)

On this 23 day of September, 2005, before me, the undersigned authority, personally appeared Louis G. Pastina to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

Pier Tisdell
Notary Public

Pier Tisdell
Notary Public, State of New York
No. 01TT6115336
Qualified in Queens County
Commission Expires September 7, 2008