



10-03-2006

Form PTO-1595 (Rev. 06/04)  
OMB No. 0651-0027 (exp. 6/30/2005)U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Docket No.: 102636.57982US

103315924

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)/Execution Date(s):  
R. Raymond May

Execution Date(s) 09/21/2006

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

## 2. Name and address of receiving party(ies)

Name: ICAP Services North America LLC

Street Address: Harborside Financial Center  
1100 Plaza Five  
Jersey City, New Jersey 07311Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Government Interest Assignment  
☐ Executive Order 9424, Confirmatory License  
☐ Other \_\_\_\_\_

4. Application number(s) or patent number(s): ☐ This document is being filed together with a new application.

A. Patent Application No.(s)

11/402,466

B. Patent Registration No.(s)

Additional number(s) attached? ☐ Yes ☒ No5. Name and address of party to whom  
correspondence concerning document should be  
mailed:

Name: Crowell &amp; Moring LLP

Street Address: Intellectual Property Group  
PO Box 14300  
Washington, DC 20044-4300

Phone Number: 202-624-2500

Fax Number: 202-628-8844

6. Total number of applications and patents  
involved 1

## 7. Total fee (37 CFR 1.21(h) &amp; 3.41) \$ 40.00

- ☒ 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 1007  
Expiration Date 10/10b. Deposit Account Number  
Authorized User Name

## 9. Signature:

Signature

September 28, 2006

Date

Stephen W. Palan, Reg. No. 43,420

Name of Person Signing

Total number of pages including cover  
sheet, attachments, and documents: 2Documents 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, VA 22313-1450

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PATENT  
REEL: 018353 FRAME: 0298

## ASSIGNMENT

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each undersigned inventor has sold and assigned, and by these presents hereby sells and assigns, unto:

**ICAP Services North America LLC**  
**Harborside Financial Center, 1100 Plaza Five**  
**Jersey City, New Jersey 07311**

(hereinafter ASSIGNEE) all right, title and interest in and to his invention relating to:

### **Electronic Trading System and Method for Pricing Transactions to Account for Risk**

in any form or embodiment thereof, in the United States and all foreign countries, including applications for patents in all countries through the world and through the Patent Cooperation Treaty and/or the European Patent Convention, as set forth in his United States Patent Application (check one):

☐ executed concurrently herewith,  
☒ executed on Serial No. 11/402,466, filed April 12, 2006.

and in and to said United States Patent Application including any and all divisions or continuations thereof and in and to any and all Letters Patent of the United States which may issue on any such application or for said invention, including any and all reissues or extensions thereof, to be held and enjoyed by said ASSIGNEE, its successors, legal representatives and assigns to the full end of the term or terms for which any and all such Letters patent may be granted as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made;

Each of the undersigned hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all such Letters patent to said ASSIGNEE, its successors or assigns in accordance herewith;

Each of the undersigned warrants and covenants that he has the full and unencumbered right to sell and assign the interests herein sold and assigned and that he has not executed and will not execute any document or instrument in conflict herewith;

Each of the undersigned further covenants and agrees he will communicate to said ASSIGNEE, its successors, legal representatives or assigns all information known to him relating to said invention or patent application and that he will execute and deliver any papers, make all rightful oaths, testify in any legal proceedings and perform all other lawful acts deemed necessary or desirable by said ASSIGNEE, its successors, legal representatives or assigns to perfect title to said invention, to said application including divisions and continuations thereof and to any and all Letters Patent which may be granted therefor or thereon, including reissues or extensions, in said ASSIGNEE, its successors, or assigns or to assist said ASSIGNEE, its successors, legal representatives or assigns in obtaining, reissuing or enforcing Letters Patent of the United States for said invention;

Each of the undersigned hereby grants the firm of CROWELL & MORING, LLP., or any partner thereof, the power to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

FULL NAME(S) OF INVENTOR(S)

Signature:   
Inventor of: Raymond May  
Citizen of: United Kingdom

Date: 21 SEP, 2006

Note: Prima facie evidence of execution may optionally be obtained by execution of this document before a U.S. Consul, Notary Public, or before a local officer authorized to administer oaths whose authority is proved by a certificate from a U.S. Consul.

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