

# PATENT ASSIGNMENT

Electronic Version v1.1

Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT		
NATURE OF CONVEYANCE:	ASSIGNMENT		
<b>CONVEYING PARTY DATA</b>			
		<b>Name</b>	<b>Execution Date</b>
		Dean Alderucci	09/23/2008
		Howard Lutnick	12/16/2008
		Kevin Foley	09/04/2008
		Brian Gay	08/26/2008
		Mark Miller	08/09/2008
		Andrew Fishkind	08/22/2008
		Philip Marber	09/04/2008
		Bill Rice	08/19/2008
<b>RECEIVING PARTY DATA</b>			
Name:	CFPH, LLC		
Street Address:	110 East 59th Street		
City:	New York		
State/Country:	NEW YORK		
Postal Code:	10022		
<b>PROPERTY NUMBERS Total: 1</b>			
Property Type	Number		
Application Number:	12113602		
<b>CORRESPONDENCE DATA</b>			
Fax Number:	(212)308-7537		
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>			
Phone:	2128297009		
Email:	dalderucci@cantor.com		
Correspondent Name:	DEAN P. ALDERUCCI		
Address Line 1:	CANTOR FITZGERALD, L.P.		
Address Line 2:	110 EAST 59TH STREET (6TH FLOOR)		
Address Line 4:	NEW YORK, NEW YORK 10022		

CH \$40.00 12113602

**500732362**

**PATENT**  
**REEL: 021988 FRAME: 0315**

ATTORNEY DOCKET NUMBER:

08-2205

NAME OF SUBMITTER:

de

Total Attachments: 10

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**ASSIGNMENT**

WHEREAS, I, the undersigned inventor (or one of the undersigned joint inventors), of residence as listed, having invented certain new and useful improvements as below entitled, for which application for United States Letters Patent is made, said application having been executed on the date set forth below; and

WHEREAS, CFPH, LLC (hereinafter referred to as "Assignee"), a Delaware limited liability company, with an address of 110 E. 59th Street, New York, New York 10022, desires to acquire my entire right, title and interest in and to the invention, and in and to said application and any Letters Patent that may issue thereon;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I hereby confirm having assigned to Assignee, as of the earliest filing date or priority date of any patent application or applications drawn to the invention, all right, title, and interest in and to the invention, and in and to any and all such patent applications and all patents which may be granted therefor, and all divisions, reissues, continuations, continuations-in-part and extensions thereof, by virtue of the Assignee being entitled thereto (a) as employer of the inventor, or (b) pursuant to an agreement between (1) Assignee and the undersigned inventor or (2) Assignee and the undersigned inventor's employer, which was executed prior to the filing of said application therefor, and I further assign to Assignee all right, title and interest in and to said invention and in and to said applications and all patents which may be granted therefor, and all divisions, reissues, continuations, continuations-in-part and extensions thereof; and I hereby authorize and request the Commissioner of Patents and Trademarks to issue all patents for said invention, or patents resulting therefrom, insofar as our interest is concerned, to Assignee.

I also confirm having assigned to Assignee as of the earliest filing date or priority date of any patent application or applications drawn to the invention, and I further assign to Assignee, all right, title and interest in and to the invention disclosed in said applications throughout the world, including the right to file applications and obtain patents, utility models, industrial models and designs for said invention in its own name throughout the world including all rights to publish cautionary notices reserving ownership of said invention and all rights to register said invention in appropriate registries; and I further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such right, title and interest in Assignee.

I will communicate to Assignee any facts known to me respecting any improvements; and, at the expense of Assignee, I will testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, make lawful oaths and declarations, and generally do everything possible to vest title in Assignee and to aid Assignee to obtain and enforce proper protection for said invention in all countries.

This Assignment shall be binding on the parties' successors, assigns and legal representatives.

IN TESTIMONY WHEREOF, we have executed this document on the date indicated below.

ATTORNEY DOCKET NO.  
08-2205

ASSIGNMENT  
12/113,602

Title of Invention:

*ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS*

Signature of Inventor:



Inventor's Name:

Dean P. Alderucci

Residence (City, County, State):

Westport, Fairfield County, CT

Date Assignment Executed:

9/23/8

STATE OF


*N.Y.*

COUNTY OF

*N.Y.*

)  
) ss.:  
)

On this 23<sup>rd</sup> day of September, 2008, before me came Dean Alderucci, to  
me known and known to me to be the individual described in, and who executed the foregoing  
instrument, and he/she has acknowledged to me that he/she has executed the same.

  
Notary Public

DAVID POSTOLSKI  
NOTARY PUBLIC, State of New York  
No. 02PO8184091  
Qualified in Kings County  
Commission Expires April 9, 2011

ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

ATTORNEY DOCKET NO. 08-2205

2

ASSIGNMENT  
12/113,602

PATENT

REEL: 021988 FRAME: 0318

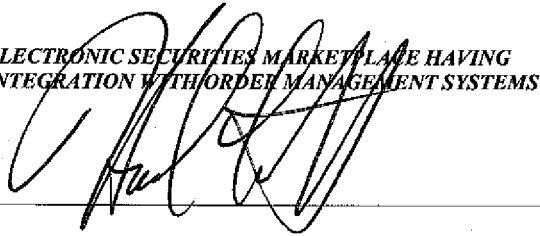
ATTORNEY DOCKET NO.  
08-2205

ASSIGNMENT  
12/113,602

Title of Invention:

*ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS*

Signature of Inventor:



Inventor's Name:

Howard W. Lutnick

Residence (City, County, State):

New York, New York County, NY

Date Assignment Executed:

12/16/8

STATE OF

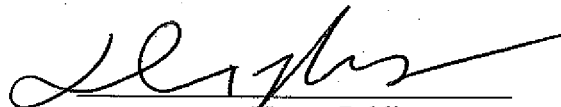
New York

COUNTY OF

New York

)  
) ss.:  
)

On this 16<sup>th</sup> day of December, 2008, before me came Howard Lutnick, to me known and known to me to be the individual described in, and who executed the foregoing instrument, and he/she has acknowledged to me that he/she has executed the same.

  
Notary Public

DAVID POSTOLSKI  
NOTARY PUBLIC, State of New York  
No. 02PO6164091  
Qualified In Kings County  
Commission Expires April 8, 20 11

ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

ATTORNEY DOCKET NO. 08-2205

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ASSIGNMENT  
12/113,602



PATENT  
REEL: 021988 FRAME: 0319

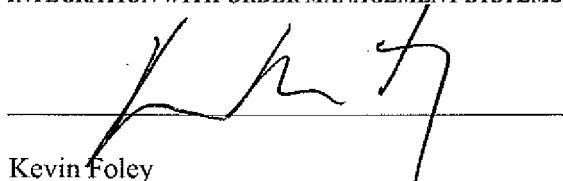
ATTORNEY DOCKET NO.  
08-2205

ASSIGNMENT  
12/113,602

Title of Invention:

*ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS*

Signature of Inventor:



Inventor's Name:

Kevin Foley

Residence (City, County, State):

New York, New York County, NY

Date Assignment Executed:

9/4/8

STATE OF

New York

)

COUNTY OF

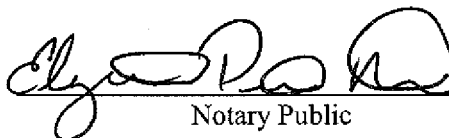
New York

)

ss.:

On this 10<sup>th</sup> day of September 2008, before me came in person, to  
me known and known to me to be the individual described in, and who executed the foregoing  
instrument, and he/she has acknowledged to me that he/she has executed the same.

**ELIZABETH PEÑA RAMOS**  
Notary Public, State of New York  
No. 01PE6167750  
Qualified in Bronx County  
Commission Expires June 04, 20 11

  
Notary Public

ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

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ASSIGNMENT  
12/113,602

ATTORNEY DOCKET NO. 08-2205

**PATENT**  
**REEL: 021988 FRAME: 0320**

ATTORNEY DOCKET NO.  
08-2205

ASSIGNMENT  
12/113,602

Title of Invention:

*ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS*

Signature of Inventor:

*Brian Gay*

Inventor's Name:

Brian Gay

Residence (City, County, State):

Fair Haven, Monmouth County, NJ

Date Assignment Executed:

*8/26/08*

STATE OF

*New York*

COUNTY OF

*New York*

ss.:

On this *26<sup>th</sup>* day of *August*, 2008, before me came *Brian Gay*, to  
me known and known to me to be the individual described in, and who executed the foregoing  
instrument, and he/she has acknowledged to me that he/she has executed the same.

*David Postolski*  
Notary Public

DAVID POSTOLSKI  
NOTARY PUBLIC, State of New York  
No. 02PO6164091  
Qualified in Kings County  
Commission Expires April 9, 20*11*

ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

ATTORNEY DOCKET NO. 08-2205

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ASSIGNMENT  
12/113,602

PATENT  
REEL: 021988 FRAME: 0321

ATTORNEY DOCKET NO.  
08-2205

ASSIGNMENT  
12/113,602

Title of Invention:

*ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS*

Signature of Inventor:

*[Handwritten Signature]*

Inventor's Name:

Mark Miller

Residence (City, County, State):

Cambridge, Middlesex County, MA

Date Assignment Executed:

*8/19/08*

STATE OF

*MA*

)

COUNTY OF

*Suffolk*

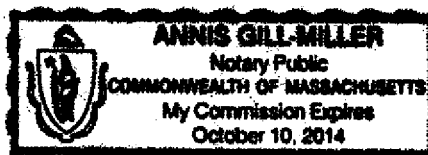
)

ss.:

On this *19th* day of *August*, 2008, before me came *Mark A. Miller*, to  
me known and known to me to be the individual described in, and who executed the foregoing  
instrument, and he/she has acknowledged to me that he/she has executed the same.

*[Handwritten Signature]*

Notary Public



ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

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ATTORNEY DOCKET NO. 08-2205

ASSIGNMENT  
12/113,602

PATENT  
REEL: 021988 FRAME: 0322



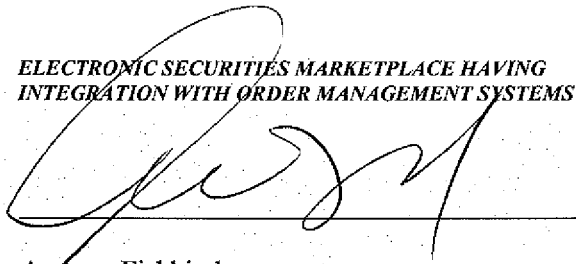
ATTORNEY DOCKET NO.  
08-2205

ASSIGNMENT  
12/113,602

Title of Invention:

*ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS*

Signature of Inventor:



Inventor's Name:

Andrew Fishkind

Residence (City, County, State):

New York, New York County, NY

Date Assignment Executed:

8/22/08

STATE OF

New York

)

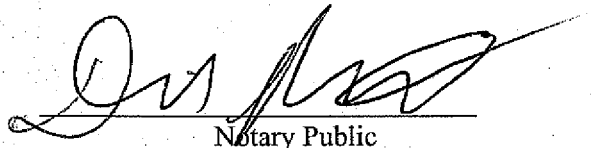
COUNTY OF

New York

)

ss.:

On this 22<sup>nd</sup> day of August, 2008, before me came Andrew Fishkind, to me known and known to me to be the individual described in, and who executed the foregoing instrument, and he/she has acknowledged to me that he/she has executed the same.



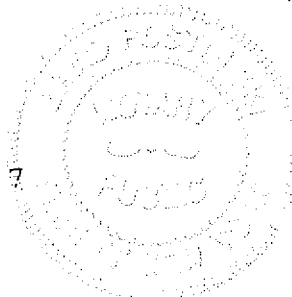
Notary Public

DAVID POLJOLSKI  
NOTARY PUBLIC, State of New York  
No. 02PO6164091  
Qualified in Kings County  
Commission Expires April 9, 2011

ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

ATTORNEY DOCKET NO. 08-2205

ASSIGNMENT  
12/113,602




PATENT  
REEL: 021988 FRAME: 0323

ASSIGNMENT  
12/113,602

**ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS**

***ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS***

  
Philip Marber

Philip Marber

Residence (City, County, State): New York, New York County, NY

9/4/8

STATE OF \_\_\_\_\_ )  
 )  
COUNTY OF \_\_\_\_\_ ) SS.:

On this \_\_\_\_ day of \_\_\_\_\_, 2008, before me came \_\_\_\_\_, to me known and known to me to be the individual described in, and who executed the foregoing instrument, and he/she has acknowledged to me that he/she has executed the same.

Notary Public

8

ATTORNEY DOCKET NO. 08-2205

## PATENT

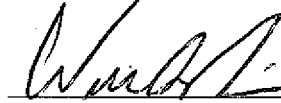
ATTORNEY DOCKET NO.  
08-2205

ASSIGNMENT  
12/113,602

Title of Invention:

*ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS*

Signature of Inventor:



Inventor's Name:

Bill Rice

Residence (City, County, State):

Los Angeles, Los Angeles County, CA

Date Assignment Executed:

*August 19, 2008*

STATE OF \_\_\_\_\_ )  
  ) ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_ day of \_\_\_\_\_, 2008, before me came \_\_\_\_\_, to  
me known and known to me to be the individual described in, and who executed the foregoing  
instrument, and he/she has acknowledged to me that he/she has executed the same.

\_\_\_\_\_  
Notary Public

ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

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ATTORNEY DOCKET NO. 08-2205

ASSIGNMENT  
12/113,602

**PATENT**  
**REEL: 021988 FRAME: 0325**

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

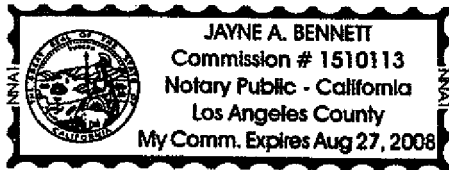
State of California

County of Los Angeles

On Aug. 19, 2008 before me, JAYNE A. BENNETT Notary Public  
Date Here Insert Name and Title of the Officer

personally appeared William Alan Rice  
Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



Place Notary Seal Above

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature Jayne A. Bennett  
Signature of Notary Public

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: \_\_\_\_\_

Document Date: \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: \_\_\_\_\_

### Capacity(ies) Claimed by Signer(s)

Signer's Name: \_\_\_\_\_

- ☐ Individual
- ☐ Corporate Officer — Title(s): \_\_\_\_\_
- ☐ Partner — ☐ Limited ☐ General
- ☐ Attorney in Fact
- ☐ Trustee
- ☐ Guardian or Conservator
- ☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

Signer's Name: \_\_\_\_\_

- ☐ Individual
- ☐ Corporate Officer — Title(s): \_\_\_\_\_
- ☐ Partner — ☐ Limited ☐ General
- ☐ Attorney in Fact
- ☐ Trustee
- ☐ Guardian or Conservator
- ☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here