

**PATENT ASSIGNMENT**

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SUBMISSION TYPE:	NEW ASSIGNMENT														
NATURE OF CONVEYANCE:	ASSIGNMENT														
<b>CONVEYING PARTY DATA</b>															
<table border="1"> <thead> <tr> <th>Name</th> <th>Execution Date</th> </tr> </thead> <tbody> <tr> <td>William R. Hambrecht</td> <td>09/28/1999</td> </tr> <tr> <td>Othar Hansson</td> <td>09/28/1999</td> </tr> <tr> <td>Jordan Hayes</td> <td>09/28/1999</td> </tr> <tr> <td>Alan Katz</td> <td>09/27/1999</td> </tr> <tr> <td>Charles Ocheret</td> <td>09/29/1999</td> </tr> <tr> <td>Matt Regan</td> <td>09/28/1999</td> </tr> </tbody> </table>		Name	Execution Date	William R. Hambrecht	09/28/1999	Othar Hansson	09/28/1999	Jordan Hayes	09/28/1999	Alan Katz	09/27/1999	Charles Ocheret	09/29/1999	Matt Regan	09/28/1999
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Matt Regan	09/28/1999														
<b>RECEIVING PARTY DATA</b>															
Name:	W.R. HAMBRECHT & CO.														
Street Address:	550 15th Street														
City:	San Francisco														
State/Country:	CALIFORNIA														
Postal Code:	94103														
<b>PROPERTY NUMBERS Total: 1</b>															
<table border="1"> <thead> <tr> <th>Property Type</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Application Number:</td> <td>10632818</td> </tr> </tbody> </table>		Property Type	Number	Application Number:	10632818										
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<b>CORRESPONDENCE DATA</b>															
Fax Number:	(617)443-0004														
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>															
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Email:	rdesalvo@bromsun.com														
Correspondent Name:	Jay Sandvos, Esq.														
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Address Line 2:	Bromberg & Sunstein LLP														
Address Line 4:	Boston, MASSACHUSETTS 02110-1618														
ATTORNEY DOCKET NUMBER:	2955/107														

**CH \$40.00 10632818**

NAME OF SUBMITTER:

Jay Sandvos, Esq.

**Total Attachments: 6**

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**ASSIGNMENT  
JOINT**

THIS ASSIGNMENT, by William R. Hambrecht, residing at 2500 Steiner Street, San Francisco, California 94115, Othar Hansson, residing at 2900 Seriana Place, Union City, California 94587, Jordan Hayes, residing at 2120 Sixth Street, #8, Berkeley, California 94710, Alan Katz, residing at 4369 San Carlos, Dallas, Texas 75205, Charles Ocheret, residing at 46 Andrea Lane, Scarsdale, New York 10583 and Matt Regan, residing at 135 Morning Star Circle, Wayne, Pennsylvania 19087 (hereinafter referred to as the assignors) witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in AUCTION SYSTEM AND METHOD FOR PRICING AND ALLOCATION DURING CAPITAL FORMATION set forth in an application for Letters Patent of the United States, bearing Serial No. 09/347,949 and filed on July 6, 1999; and

WHEREAS, W. R. Hambrecht & Co., a corporation duly organized under and pursuant to the laws of California and having its principal place of business at 550 15th Street, San Francisco, California 94103 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents does sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successor, legal representatives and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

9-28-99 WR Hambrecht  
Date Name: William R. Hambrecht

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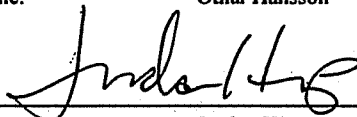
Date \_\_\_\_\_ Name: William R. Hambrecht

9/28/99



Date \_\_\_\_\_ Name: Othar Hansson

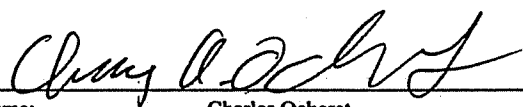
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