

PATENT ASSIGNMENT

Electronic Version v1.1

Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Lars KRAGH	04/10/2007
RECEIVING PARTY DATA	
Name:	NYFIX, Inc.
Street Address:	100 Wall Street
Internal Address:	26th Floor
City:	New York
State/Country:	NEW YORK
Postal Code:	10005
PROPERTY NUMBERS Total: 4	
Property Type	Number
Application Number:	10939217
Application Number:	11009194
Application Number:	10825726
Application Number:	10779486
CORRESPONDENCE DATA	
Fax Number:	(203)327-2669
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	203-351-8011
Email:	vterriberry@kellydrye.com
Correspondent Name:	Hans-Peter G. Hoffmann
Address Line 1:	400 Atlantic Street
Address Line 2:	13th Floor
Address Line 4:	STAMFORD, CONNECTICUT 06901
ATTORNEY DOCKET NUMBER:	NYF
NAME OF SUBMITTER:	Hans-Peter G. Hoffmann

CH \$160.00 10939217

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PATENT
REEL: 022903 FRAME: 0009

Total Attachments: 9

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**RECORDATION FORM COVER SHEET
PATENTS ONLY**

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)

Lars KRAGH

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

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

Execution Date(s) 04/10/2007

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

2. Name and address of receiving party(ies)

Name: NYFIX, Inc.

Internal Address: _____

Street Address: 100 Wall Street

26th Floor

City: New York

State: NY

Country: US Zip: 10005

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

4. Application or patent number(s):

☐ This document is being filed together with a new application.

A. Patent Application No.(s)

10/939,217; 11/009,194; 10/825,726; 10/779,486

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Hans-Peter G. Hoffmann

Internal Address: Kelley Drye & Warren LLP

Intellectual Property Department

Street Address: 400 Atlantic Street

13th Floor

City: Stamford

State: CT Zip: 06901

Phone Number: 203-351-8011

Fax Number: 203-327-2669

Email Address: hhoffmann@kelleydrye.com

6. Total number of applications and patents involved: 4

7. Total fee (37 CFR 1.21(h) & 3.41) \$160.00

- ☒ Authorized to be charged to deposit account
☐ Enclosed
☐ None required (government interest not affecting title)

8. Payment Information

Deposit Account Number 110404

Authorized User Name Kelley Drye & Warren LLP

9. Signature:


Signature

July 1, 2009

Date

Hans-Peter G. Hoffmann, Reg. No. 37,352

Name of Person Signing

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

9

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned,

**Lars Kragh
NYFIX, Inc.
100 Wall Street
26th Floor
New York, NY 10005**

(hereinafter "Assignor"), who has created a certain invention entitled:

**SYSTEM FOR AGGREGATING EXECUTIONS IN A COMMUNICATION
NETWORK FOR SECURITIES TRANSACTIONS AND THE LIKE**

for which an application for United States Letters Patent was filed on September 13, 2004, as United States Patent Application No. 10/939,217, hereby sells, assigns and transfers to:

**NYFIX, INC.
100 Wall Street
26th Floor
New York, NY 10005
United States of America**

(hereinafter "Assignee"), its successors assigns, and legal representatives, the full and exclusive right to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States, its territorial possessions and all foreign countries as a result of said application; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possessions and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties.

I authorize Assignee to apply for and receive Letters Patent for such protection in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, but without charge to Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, and extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi-legal proceedings; communicate to said Assignee, its successors, assigns, and legal representatives all facts known to the undersigned relating to said invention and the history thereof; and generally do everything possible which

said Assignee, its successors, assigns or legal representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

IN TESTIMONY WHEREOF, I have hereunto set my signature below.

Signature of inventor:


Lars Kragh

Date: 4/10 2007

Witness:



Witness:



ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned,

**Lars Kragh
NYFIX, Inc.
100 Wall Street
26th Floor
New York, NY 10005**

(hereinafter "Assignor"), who has created a certain invention entitled:

CONTROLLING AN ORDER SLICER FOR TRADING A FINANCIAL INSTRUMENT

for which an application for United States Letters Patent was filed on December 10, 2004, as United States Patent Application No. 11/009,194, hereby sells, assigns and transfers to:

**NYFIX, INC.
100 Wall Street
26th Floor
New York, NY 10005
United States of America**

(hereinafter "Assignee"), its successors assigns, and legal representatives, the full and exclusive right to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States, its territorial possessions and all foreign countries as a result of said application; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possessions and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties.

I authorize Assignee to apply for and receive Letters Patent for such protection in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, but without charge to Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, and extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi-legal proceedings; communicate to said Assignee, its successors, assigns, and legal representatives all facts known to the undersigned

relating to said invention and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or legal representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

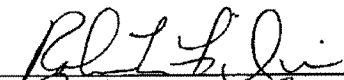
IN TESTIMONY WHEREOF, I have hereunto set my signature below.

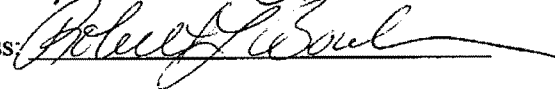
Signature of inventor:



Lars Kragh

Date: 4/10 2007

Witness: 

Witness: 

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For good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned,

**Lars Kragh
NYFIX, Inc.
100 Wall Street
26th Floor
New York, NY 10005**

(hereinafter "Assignor"), who has created a certain invention entitled:

**PROCESS FOR PROVIDING TIMELY QUALITY
INDICATION OF MARKET TRADES**

for which an application for United States Letters Patent was filed on April 15, 2004, as United States Patent Application No. 10/825,726, hereby sells, assigns and transfers to:

**NYFIX, INC.
100 Wall Street
26th Floor
New York, NY 10005
United States of America**

(hereinafter "Assignee"), its successors assigns, and legal representatives, the full and exclusive right to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States, its territorial possessions and all foreign countries as a result of said application; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possessions and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties.

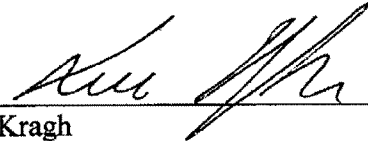
I authorize Assignee to apply for and receive Letters Patent for such protection in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, but without charge to Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, and extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi-legal proceedings; communicate to said Assignee, its successors, assigns, and legal representatives all facts known to the undersigned relating to said invention and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or legal representatives shall consider desirable for aiding

in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, its successors, assigns and legal representatives; and

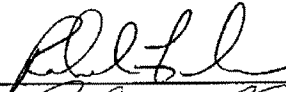
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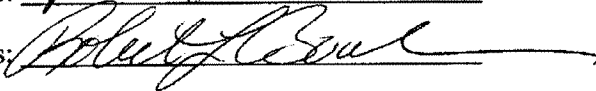
IN TESTIMONY WHEREOF, I have hereunto set my signature below.

Signature of inventor:


Lars Kragh

Date: 4/10 2007

Witness: 

Witness: 

1. ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned,

**Lars Kragh
NYFIX, Inc.
100 Wall Street
26th Floor
New York, NY 10005**

(hereinafter "Assignor"), who has created a certain invention entitled:

**SYSTEM FOR PROVIDING STEP OUT COMMISSIONS
AND COMPENSATION FOR RESEARCH BROKERS**

for which an application for United States Letters Patent was filed on **February 13, 2004**, as United States Patent Application No. **10/779,486**, and internationally as International Publication Number **WO 2005/079268A2**, International Publication Date, **September 1, 2005**, hereby sells, assigns and transfers to:

**NYFIX, INC.
100 Wall Street
26th Floor
New York, NY 10005
United States of America**

(hereinafter "Assignee"), its successors assigns, and legal representatives, the full and exclusive right to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States, its territorial possessions and all foreign countries as a result of said application; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possessions and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties.

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Signature of inventor:


Lars Kragh

Date: 4/10 2007

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