# 502013315 08/03/2012

# PATENT ASSIGNMENT

# Electronic Version v1.1 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	MERGER
EFFECTIVE DATE:	09/30/2008

### **CONVEYING PARTY DATA**

Name	Execution Date
American Stock Exchange LLC	09/30/2008

# **RECEIVING PARTY DATA**

Name:	NYSE Alternext US LLC	
Street Address:	20 Broad Street	
City:	New York	
State/Country:	NEW YORK	
Postal Code:	10005	

## PROPERTY NUMBERS Total: 3

Property Type	Number
Application Number:	13167457
Application Number:	13445164
Application Number:	13445126

### **CORRESPONDENCE DATA**

Fax Number: 2039727627 Phone: (203) 972-0006

Email: martin@bmtpatent.com

Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent

via US Mail.

Correspondent Name: Buckley, Maschoff & Talwalkar LLC

Address Line 1: 50 Locust Avenue

Address Line 4: New Canaan, CONNECTICUT 06840

ATTORNEY DOCKET NUMBER: N09.000

NAME OF SUBMITTER: Kurt M. Maschoff

PATENT

REEL: 028718 FRAME: 0827

OP \$120.00 13167457

# Total Attachments: 5

source=N09.000 - Recordation Cover Sheet and Merger Document#page1.tif source=N09.000 - Recordation Cover Sheet and Merger Document#page2.tif source=N09.000 - Recordation Cover Sheet and Merger Document#page3.tif source=N09.000 - Recordation Cover Sheet and Merger Document#page4.tif source=N09.000 - Recordation Cover Sheet and Merger Document#page5.tif

PATENT REEL: 028718 FRAME: 0828

RECORDATION FORM COVER SHEET PATENTS ONLY		
	e record the attached documents or the new address(es) below.	
Name of conveying party(ies)	2. Name and address of receiving party(ies)	
American Stock Exchange LLC	Name: NYSE ALTERNEXT US LLC	
	Internal Address:	
Additional name(s) of conveying party(ies) attached? Yes X No		
3. Nature of conveyance/Execution Date(s):  Execution Date(s) September 30, 2008	Street Address: 20 Broad Street	
Execution Date(s) September 30, 2008  Assignment X Merger		
Security Agreement Change of Name	City: New York	
Joint Research Agreement		
Government Interest Assignment	State: New York	
Executive Order 9424, Confirmatory License	Country: USA Zip: 10005	
Other	Additional name(s) & address(es) attached? Yes X No	
A. Patent Application No.(s) 13/167,457; 13/445,126; 13/445,164 Additional numbers att	s document is being filed together with a new application.  B. Patent No.(s)  ached? Yes X No	
Name and address to whom correspondence concerning document should be mailed:	Total number of applications and patents involved: 3	
Name <u>: Kurt M. Maschoff</u>	7. Total fee (37 CFR 1.21(h) & 3.41) \$120.00	
Buckley, Maschoff & Talwalkar LLC	X Credit Card Payment (via EFS-Web)	
Internal Address:	Enclosed	
Street Address: 50 Locust Avenue	None required (government interest not affecting title)	
City: New Canaan	8. Payment Information	
State: <u>CT</u> Zip: <u>06840</u>		
Phone Number: (203) 972-0081	Deposit Account Number	
Fax Number: <u>(203)</u> 972-7627		
Email Address: maschoff@bmtpatent.com	Authorized User Name	
9. Signature: Signature	August 3, 2012 Date	
Kurt M. Maschoff, Reg. 38,235  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 (571) 273-0140, or mailed to: Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, V.A. 22313-1450



PAGE .

# The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF
DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT
COPY OF THE CERTIFICATE OF MERGER, WHICH MERGES:

"AMERICAN STOCK EXCHANGE LLC", A DELAWARE LIMITED LIABILITY COMPANY,

WITH AND INTO "AMERICAN STOCK EXCHANGE 2, LLC" UNDER THE

NAME OF "NYSE ALTERNEXT US LLC", A LIMITED LIABILITY COMPANY

ORGANIZED AND EXISTING UNDER THE LAWS OF THE STATE OF DELAWARE,

AS RECEIVED AND FILED IN THIS OFFICE THE THIRTIETH DAY OF

SEPTEMBER, A.D. 2008, AT 5:34 O'CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF
THE AFORESAID CERTIFICATE OF MERGER IS THE FIRST DAY OF OCTOBER,
A.D. 2008, AT 1 O'CLOCK A.M.

4486791 8100M

081001119

You may verify this certificate online at corp.delaware.gov/authver.shtml

Darriet Smith Hindson

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 6885879

DATE: 09-30-08

PATENT REEL: 028718 FRAME: 0830

State of Delaware Secretary of State Division of Corporations Delivered 05:34 PM 09/30/2008 FILED 05:34 PM 09/30/2008 SRV 081001119 - 4486791 FILE

### **CERTIFICATE OF MERGER**

OF

# AMERICAN STOCK EXCHANGE LLC (a Delaware Limited Liability Company)

### INTO

# AMERICAN STOCK EXCHANGE 2, LLC (a Delaware Limited Liability Company)

(Pursuant to Section 18-209 of the Delaware Limited Liability Company)

### IT IS HEREBY CERTIFIED THAT:

FIRST: The name and jurisdiction of formation of each of the domestic limited liability companies in the Merger are as follows:

- (a) American Stock Exchange LLC ("Amex"), a limited liability company organized under the laws of the State of Delaware; and
- (b) American Stock Exchange 2, LLC ("Amex 2"), a limited liability company organized under the laws of the State of Delaware.

SECOND: An Agreement and Plan of Merger (the "Merger Agreement") dated as of January 17, 2008, by and among NYSE Euronext, Amsterdam Merger Sub, The Amex Membership Corporation, AMC Acquisition Sub, Inc., American Stock Exchange Holdings, Inc., Amex and Amex 2 (the "Merger Agreement"), setting forth the terms and conditions of the merger of Amex into Amex 2 (the "Merger"), was approved and executed by each of Amex and Amex 2.

### THIRD:

- (a) The name of the surviving company in the merger herein certified is "American Stock Exchange 2, LLC";
- (b) At the effective time of this Certificate of Merger, the name of the surviving limited liability company shall be changed to "NYSE Alternext US LLC"; and
- (c) Article 1 of the Certificate of Formation of the surviving limited liability company is hereby amended as of the effective time to read in its entirety as follows:
  - "1. Name: The name of the limited liability company is NYSE Alternext US LLC."

NYI:#3478502

PATENT REEL: 028718 FRAME: 0831 FOURTH: The Merger Agreement is on file at the place of business of the surviving domestic limited liability company in the Merger, American Stock Exchange 2, LLC, 86 Trinity Place, New York, New York 10006.

FIFTH: A copy of the Merger Agreement will be furnished by American Stock Exchange 2, LLC, on request and without cost, to any member of American Stock Exchange LLC or American Stock Exchange 2, LLC.

SIXTH: The Merger shall be effective on October 1, 2008, at 1:00 a.m. (New York time).

IN WITNESS WHEREOF, the undersigned has caused this Certificate to be signed this 30th day of September, 2008.

> AMERICAN STOCK EXCHANGE 2, LLC By American Stock Exchange Holdings, Inc. As Managing Member

By:

/s/ Claire P. McGrath
Name: Claire P. McGrath

Title: President

NY1:#3478502

**PATENT REEL: 028718 FRAME: 0833** 

RECORDED: 08/03/2012