

<b>PATENT ASSIGNMENT COVER SHEET</b>
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Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT3127154

<b>SUBMISSION TYPE:</b>	CORRECTIVE ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	Corrective Assignment to correct the TYPOGRAPHICAL ERROR IN THE NAME OF THE ASSIGNEE NEW YORK STOCK EXCHANGE, INC. previously recorded on Reel 017044 Frame 0881. Assignor(s) hereby confirms the ASSIGNEE'S NAME IS NEW YORK STOCK EXCHANGE, INC.

**CONVEYING PARTY DATA**

Name	Execution Date
ROGER BURKHARDT	09/27/2005
ANNE ALLEN	09/23/2005
ROBERT MCSWEENEY	09/26/2005
LOUIS G. PASTINA	09/23/2005

**RECEIVING PARTY DATA**

<b>Name:</b>	NEW YORK STOCK EXCHANGE, INC.
<b>Street Address:</b>	11 WALL STREET
<b>City:</b>	NEW YORK
<b>State/Country:</b>	NEW YORK
<b>Postal Code:</b>	10005

**PROPERTY NUMBERS Total: 1**

Property Type	Number
<b>Patent Number:</b>	8024247

**CORRESPONDENCE DATA**

**Fax Number:** (215)656-2498

*Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.*

**Phone:** 215-656-3385

**Email:** pto.phil@dlapiper.com

**Correspondent Name:** PAUL A. TAUFER, DLA PIPER LLP (US)

**Address Line 1:** 1650 MARKET STREET, SUITE 4900

**Address Line 4:** PHILADELPHIA, PENNSYLVANIA 19103

<b>ATTORNEY DOCKET NUMBER:</b>	NSE-14-1131R5
<b>NAME OF SUBMITTER:</b>	NANCY NUNEZ
<b>SIGNATURE:</b>	/NN/
<b>DATE SIGNED:</b>	12/01/2014

Total Attachments: 6

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10-06-2005



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9/30/05

RE

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)**

Burkhardt, Roger  
Allen, Anne  
McSweeney, Robert  
Pastina, Louis G.

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

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

Name: New York Stock Exchange

Internal Address: \_\_\_\_\_

Street Address: 11 Wall Street

City: New York

State: NY

Country: USA Zip: 10005

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

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

Execution Date(s) 9/27/05; 9/23/05; 9/26/05; 9/23/05

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

**4. Application or patent number(s):**

A. Patent Application No.(s)  
11/183,043

This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached?  Yes  No

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

Name: Chris L. Holm

Internal Address: Milbank, Tweed, Hadley & McCloy LLP

Street Address: 1 Chase Manhattan Plaza

City: New York

State: NY Zip: 10005

Phone Number: 212-540-5734

Fax Number: 212-822-5734

Email Address: cholm@milbank.com

**6. Total number of applications and patents involved:** 1

**7. Total fee (37 CFR 1.21(h) & 3.41) \$** 40

- 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 \_\_\_\_\_  
Expiration Date \_\_\_\_\_

b. Deposit Account Number \_\_\_\_\_  
Authorized User Name \_\_\_\_\_

**9. Signature:**

Signature

Date

Chris L. Holm, Esq.

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 (703) 306-5995, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

10/05/2005 EDOOPER 00000086 11183943

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## ASSIGNMENT OF APPLICATION FOR PATENT

## WHEREAS:

Burkhardt, Roger, 220 Taxter Road, Irvington, New York 10533;  
Allen, Anne E., 205 Watchung Ave., Cranford, N.J. 07105;  
McSweeney, Robert J., 157 Loines Avenue, Merrick, NY 11566; and  
Pastina, Louis G., 171 Beach 130<sup>th</sup> Street, Belle Harbor, NY 11694

(full name(s) and post office address(s) of inventor(s) (including country))

(hereinafter referred to as ASSIGNOR(S)), has made a discovery or invention entitled:

SYSTEM AND METHOD FOR PUBLISHING LIQUIDITY REPLENISHMENT PRICES IN A HYBRID  
AUCTION MARKET

(title of discovery or invention)

[ ] for which application for Letters Patent of the United States has been executed on even date herewith,

[X] for which application for Letters Patent of the United States has been filed on July 15, 2005, under Serial No. 11/183,043, and

## WHEREAS:

New York Stock Exchange, 11 Wall Street, New York, NY 10005

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(name and address of assignee)

(hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire interest in, to and under said invention and in, to and under Letters Patent or similar legal protection to be obtained therefore in the United States and in any and all foreign countries.

## NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN:

Be it known that in consideration of good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S) hereby sells, assigns and transfers to ASSIGNEE, its successors, legal representatives and assigns, the full and exclusive right, title and interest to said discovery or invention in the United States and its territorial possessions and in all foreign countries and to all Letters Patent or similar legal protection in the United States and its territorial possessions and in any and all foreign countries to be obtained for said invention by said application or any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in a foreign country for the full term or terms for which the same may be granted.

I, SAID ASSIGNOR(S), hereby authorize and request the Commissioner of Patents and Trademarks of the United States of America and any Official of any country or countries foreign to the United States of America whose duty it is to issue Letters Patent on applications as aforesaid, to issue all such Letters Patent for said discovery or invention to the ASSIGNEE, as assignee of the entire right, title and interest in, to and under the same, for the sole use and behalf of the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

I, SAID, ASSIGNOR(S), hereby covenant that I have full right to convey the entire right, title and interest herein sold, assigned, transferred and set over;

AND I, SAID ASSIGNOR(S) hereby further covenant and agree that the ASSIGNEE, its successors, legal representatives, or assigns, may apply for foreign Letters Patent on said discovery or invention and claim the benefits of the International Convention, and that I will, at any time, when called upon to do so by the ASSIGNEE, its successors, legal representatives, or assigns, communicate to the ASSIGNEE, its successors, legal representatives, or assigns, as the case may be, any facts known to me respecting said discover or invention, and execute and deliver and all lawful papers that may be necessary or desirable to perfect the title to the said discovery or invention, the said applications and the said Letters Patent in the ASSIGNEE, its successors, legal representatives

and assigns, and that it reissues of the said Letters Patent or disclaimers relating thereto, or divisions, continuations, or re-filings of the said applications, or any thereof, shall hereafter be desired by the ASSIGNEE, its successors, legal representatives, or assigns, sign all lawful papers, make all rightful oaths, execute and deliver all such disclaimers and all divisional, continuation and reissue applications so desired, and do all lawful acts requisite for the application for such reissues and the procuring thereof and for the filing of such disclaimers and such applications, and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said invention or discover in all countries, and without further compensation but at the expense of the ASSIGNEE, its successors, legal representatives and assigns.

Assignor's signature: \_\_\_\_\_

*Roger Burkhardt*  
Roger BURKHARDT

Citizenship: United Kingdom

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 27 day of September 2005

STATE OF \_\_\_\_\_ )

ss.:

COUNTY OF \_\_\_\_\_ )

On this 27 day of September, 2005, before me, the undersigned authority, personally appeared to me Roger Burkhardt

known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

*Nancy J. Ginsberg*  
Notary Public

NANCY J. GINSBERG  
NOTARY PUBLIC, State of New York  
No. 01G16048899  
Qualified in Richmond County  
Commission Expires October 02, 2006

Assignor's signature: \_\_\_\_\_

*Anne E. Allen*  
Anne E. ALLEN

Citizenship: United States

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 23<sup>rd</sup> day of September 2005

STATE OF NY )

ss.:

COUNTY OF NY )

On this 23 day of September, 2005 before me, the undersigned authority, personally appeared Anne E. Allen

to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

*Pier Tisdell*  
Notary Public

Pier Tisdell  
Notary Public, State of New York  
No. 01T16115336  
Qualified in Queens County  
Commission Expires September 7, 2008

Assignor's signature: X Robert J. McSweeney  
Robert J. McSWEENEY

Citizenship: United States

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 26 day of September 2005

STATE OF )

ss.:

COUNTY OF )

On this 26 day of September, 2005 before me, the undersigned authority, personally appeared Robert J. McSweeney to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

Nancy Ginsberg  
Notary Public

**NANCY J. GINSBERG**  
NOTARY PUBLIC, State of New York  
No. 01G16048899  
Qualified in Richmond County  
Commission Expires October 02, 2006

Assignor's signature: Louis G. Pastina  
Louis G. PASTINA

Citizenship: United States

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 23 day of September 2005

STATE OF NY )

ss.:

COUNTY OF NY )

On this 23 day of September, 2005 before me, the undersigned authority, personally appeared Louis G. Pastina to me known and known to me to be the individual who is described in and who executed the foregoing Assignment, and who duly acknowledged to me that he executed the same as his own voluntary act and deed for the uses and purposes therein specified.

Pier Tiedel  
Notary Public

**Pier Tiedel**  
Notary Public, State of New York  
No. 01T16115336  
Qualified in Queens County  
Commission Expires September 7, 2005