

03/02/2016



U.S. DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

RECC

03-02-16

103674615

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)

OptionTech, LLC

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

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

Execution Date(s) February 29, 2016

- ☒ 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: NCM FINANCIAL, INC

Internal Address: 2101 Cedar Springs, Road, Suite 1050

Street Address: 2101 Cedar Springs, Road, Suite 1050

City: Dallas

State: Texas

Country: USA Zip: 75201

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

4. Application or patent number(s):

☒ This document serves as an Oath/Declaration (37 CFR 1.63).

A. Patent Application No.(s)

B. Patent No.(s)

11/676,552

8,285,627

Additional numbers attached? ☐ Yes ☒ No

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

Name: NCM Financial, Inc.

Internal Address: 2101 Cedar Springs, Road, Suite 1050

Street Address: 2101 Cedar Springs, Road, Suite 1050

City: Dallas

State: Texas Zip: 75201

Phone Number: 1-800-686-3259

Docket Number: _____

Email Address: mnoel@ncmfinancial.com

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$40.00

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

8. Payment Information

Deposit Account Number 03/02/2016-RECCVENI 00000004 11676552

01 FC:8021 40.00 UP
Authorized User Name _____

9. Signature:

Signature

02-29-2016

Date

Michael A. Noel

Name of Person Signing

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

4

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

PATENT
REEL: 037983 FRAME: 0847

PATENT ASSIGNMENT
PATENT NO. 8,285,627

Assignor: OptionTech, LLC

Assignee: NCM Financial, Inc.

WHEREAS, OptionTech, LLC, a Texas Limited Liability Company ("**Assignor**") owns United States federal patent Registration No. 8,285,627 (Platform for customizing a derivative portfolio trading strategy) ("**Assigned Patent**") for Patent registered with the United States Patent and Trademark Office as identified therein; and

WHEREAS, NCM Financial, Inc., a Texas Corporation, ("**Assignee**") desires to acquire the Assigned Patent and the above-referenced Registration;


NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, Assignor hereby irrevocably agrees to sell, grant, assign, transfer and convey, and does sell, grant, assign, transfer and convey to Assignee, its successors and assigns all of its respective rights, title and interest of every kind and character throughout the world in and to the Assigned Patent to the full extent of their respective ownership or interest therein; including, without limitation, all domestic and foreign intellectual property applications and registrations therefor (and all divisions, continuations, continuations-in-part, reexaminations, substitutions, reissues, extensions, and renewals of such applications and registrations, and the right to apply for any of the foregoing); all rights to causes of action and remedies related thereto (including, without limitation, the right to sue for past, present or future infringement, misappropriation or violation of rights related to the foregoing).

Upon request, Assignor will promptly take all reasonable action, including, without limitation, the prompt execution and delivery of documents in recordable form, as may be reasonably necessary to vest, secure, perfect, protect and/or enforce the rights and interests of Assignee in and to the Assigned Patent. Assignor will use its reasonable best efforts to obtain any consent, approval, amendment or other documentation or act required to assign the Patent; provided, however, that, except for filing and other administrative charges, Assignee shall not be obligated to pay any consideration therefor to Assignor or any third party from whom such consents, approvals, amendments or other documentation or acts are requested. In order to effect such ownership transfer, contemporaneously with the execution of this Agreement, Assignor has executed that certain separate assignment document (a copy of which is attached hereto as Exhibit "A"), to be recorded with the United States Patent and Trademark Office. Assignee shall, without payment of further consideration therefor, assume such rights and obligations in, to and concerning the Assigned Patent and Assignor shall be relieved of any and all liability therefor.

Dated effective as of: February 29, 2016.

ASSIGNOR

OptionTech, LLC,
a Texas limited liability company

By: 
Michael A. Noel, President

THE STATE OF TEXAS

§
§
§


COUNTY OF DALLAS

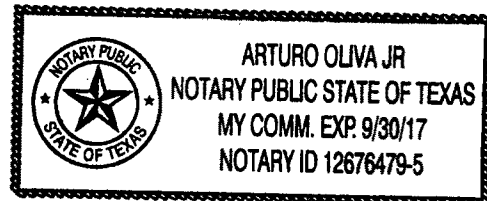
BEFORE ME, the undersigned Notary Public, on this day personally appeared Michael A. Noel known be me to be the person above named and duly authorized to execute this Patent Assignment, who signed and executed the foregoing instrument for valuable consideration as stated above.


Notary Public, State of Texas

ACKNOWLEDGED AND ACCEPTED:

NCM Financial, Inc,
a Texas Corporation

By: 
Michael A. Noel, Chief Executive Officer



IN THE UNITED STATE PATENT AND TRADEMARK OFFICE

Appl. No. : 11/676,552 Confirmation No.: 8400
Patent No. : 8,285,627
Applicants : Michael Anthony Noel
Filed : 03/20/2007
Title : Platform for Customizing a Derivative Portfolio Trading Strategy
TC/A.U. : 3691
Examiner : KAZIMI, HANI M
Docket No. : P-8515

Mail Stop Assignment Recordation Services
Director of the USPTO
P.O. Box 1450
Alexandria, VA 22313-1450

ASSIGNMENT FOR PATENT

This is the information for the Assignment.

<u>Section</u>	<u>Page</u>
Assignment PTO-1595	2
Patent Assignment Document	3-4