

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4205128

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
Name		Execution Date
ICAP SERVICES NORTH AMERICA LLC		12/22/2016
RECEIVING PARTY DATA		
Name:	INTERCAPITAL SERVICES NORTH AMERICA LLC	
Street Address:	1100 PLAZA FIVE	
City:	JERSEY CITY	
State/Country:	NEW JERSEY	
Postal Code:	07311	
PROPERTY NUMBERS Total: 71		
Property Type	Number	
Application Number:	10933152	
Application Number:	60499673	
Application Number:	12709635	
Application Number:	12758089	
Application Number:	14051564	
Application Number:	10990746	
Application Number:	11332669	
Application Number:	12906655	
Application Number:	12903021	
Application Number:	13558046	
Application Number:	60772066	
Application Number:	11705347	
Application Number:	11242821	
Application Number:	12708006	
Application Number:	12814740	
Application Number:	12814700	
Application Number:	11700038	
Application Number:	12951329	
Application Number:	11291465	
Application Number:	12364091	

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Property Type	Number
Application Number:	11062188
Application Number:	11371696
Application Number:	12435752
Application Number:	12570769
Application Number:	13029604
Application Number:	13180008
Application Number:	11070746
Application Number:	11371704
Application Number:	12782031
Application Number:	12782148
Application Number:	12782213
Application Number:	11389737
Application Number:	13345179
Application Number:	11402466
Application Number:	11431293
Application Number:	12509937
Application Number:	11475975
Application Number:	13172985
Application Number:	13781431
Application Number:	11781495
Application Number:	12882591
Application Number:	12166083
Application Number:	12900010
Application Number:	13098555
Application Number:	61085606
Application Number:	12533662
Application Number:	61175869
Application Number:	61375352
Application Number:	13212524
Application Number:	13592955
Application Number:	13611185
Application Number:	13026501
Application Number:	13361238
Application Number:	13483315
Application Number:	61500846
Application Number:	13530711
Application Number:	13645216
Application Number:	15144275

Property Type	Number
Application Number:	61777795
Application Number:	14205735
Application Number:	61875263
Application Number:	14481022
Application Number:	61889730
Application Number:	61928598
Application Number:	14513487
Application Number:	62304415
Application Number:	61892639
Application Number:	14517096
Application Number:	62304505
Application Number:	60399903
Application Number:	12539411

CORRESPONDENCE DATA

Fax Number: (212)484-3990

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: 2028576000

Email: scott.dodge@arentfox.com

Correspondent Name: ARENT FOX LLP

Address Line 1: 1675 BROADWAY

Address Line 4: NEW YORK, NEW YORK 10019

ATTORNEY DOCKET NUMBER:	036429.00000
NAME OF SUBMITTER:	SCOTT DODGE
SIGNATURE:	/Scott Dodge/
DATE SIGNED:	12/29/2016

Total Attachments: 13

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ICAP SERVICES NORTH AMERICA LLC
AND
INTERCAPITAL SERVICES NORTH AMERICA LLC

INTELLECTUAL PROPERTY ASSIGNMENT

THIS ASSIGNMENT is made on 22 DECEMBER 2016

BETWEEN:

- (1) **ICAP SERVICES NORTH AMERICA LLC**, a limited liability company organised and existing under the laws of the State of Delaware, USA with its principal place of business at Harborside Financial Center, 1100 Plaza Five, Jersey City, NJ 07311, USA and registered no. 2828113 (the "Assignor"); and
- (2) **INTERCAPITAL SERVICES NORTH AMERICA LLC**, a limited liability company organised and existing under the laws of the State of Delaware, USA with its principal place of business at Harborside Financial Center, 1100 Plaza Five, Jersey City, NJ 07311, USA and registered no. 5928112 (the "Assignee").

THE PARTIES AGREE as follows:

1. DEFINITIONS

In this Assignment:

"**Encumbrance**" means any mortgage, charge (fixed or floating), pledge, lien, option, right to acquire, right of pre-emption, assignment by way of security or trust arrangement for the purpose of providing security or other security interest of any kind (including any retention arrangement), or any agreement to create any of the foregoing; and

"**Registered Intellectual Property Rights**" means the registrations and applications listed in the Schedule to this Assignment of which the Assignor is the registered proprietor.

2. ASSIGNMENT

In consideration of the sum of £1 now paid by the Assignee to the Assignor (the receipt of which the Assignor hereby acknowledges) the Assignor hereby assigns and transfers to the Assignee absolutely with full title guarantee, free from Encumbrances:

- 2.1 all of its right, title and interest in and to the Registered Intellectual Property Rights including all statutory and common law rights and powers, liberties and immunities attaching to the Registered Intellectual Property Rights;
- 2.2 the right to sue for and to recover damages and other remedies in respect of any infringement of the Registered Intellectual Property Rights which may have occurred before the date of this Assignment; and
- 2.3 any goodwill attaching to the Registered Intellectual Property Rights.

3. FURTHER ASSURANCES

The Assignor shall on request by the Assignee in writing, do and execute or arrange for the doing and executing of, each necessary act, document and thing reasonably within its power to give effect to this Assignment.

4. **GOVERNING LAW**

4.1 This Assignment is governed by English law.

4.2 The courts of England have exclusive jurisdiction to settle any dispute arising from or connected with this Assignment.

5. **COUNTERPARTS**

This Assignment may be executed in any number of counterparts, each of which when executed and delivered is an original and all of which together evidence the same agreement.

**SCHEDULE
THE INTELLECTUAL PROPERTY RIGHTS**

Registered Intellectual Property Rights

I. Trade Marks

Case Ref.	Country	Category	Title	Application No.	Filing Date	Registration No.	Registration Date
1. T/20015.US01	United States of America	Normal	RESET	78/009004	15-Jun-2006	3410864	08-Apr-2008
2. T/20023.US01	United States of America	Normal	RESET logo	77/051116	27-Nov-2006	3419193	29-Apr-2008
3. T/20057.CA01	Canada	Normal	BTEC	1669892	26-Mar-2014	TMA919096	02-Nov-2015
4. T/20057.US01	United States of America	Normal	BTEC	75/652433	03-Mar-1999	2601551	30-Jul-2002
5. T/20058.CA01	Canada	Normal	BROKERTEC	1678900	28-May-2014	TMA925394	08-Jan-2016
6. T/20058.US02	United States of America	Normal	BROKERTEC	86/031535	07-Aug-2013	4497836	18-Mar-2014
7. T/20644.EU01	European Union	Normal	NYFR	007369218	05-Nov-2008	007369218	10-Jun-2009

8.	T/22644 GB01	United Kingdom	Normal	NYFR	2437213	19-May-2008	2467613	26-Dec-2008
9.	T/20650 EM01	European Union	Normal	NYFR FIXING	007369457	05-Nov-2008	007369457	10-Jun-2009
10.	T/20650 GB01	United Kingdom	Normal	NYFR FIXING	2488368	23-May-2008	2488368	13-Feb-2009
11.	T/20650 US01	United States of America	Normal	NYFR FIXING	77492134	05-Jun-2008	3904726	11-Jan-2011
12.	T/21120 US01	United States of America	Normal	ICAP SHIPPING	771798884	06-Aug-2008	3875508	16-Nov-2010
13.	T/21121 US01	United States of America	Normal	ICAP SHIPPING & DEVICE	771798946	06-Aug-2008	3875508	16-Nov-2010
14.	T/21242 US01	United States of America	Normal	ReMATCH	771786703	22-Jul-2008	4172022	10-Jul-2012
15.	T/21434 US01	United States of America	Normal	GOV/PX	74136895	06-Feb-1991	1740664	15-Dec-1992
16.	T/21436 US01	United States of America	Normal	I-CROSS	771336603	26-Nov-2007	3507580	30-Sep-2008
17.	T/21438 US02	United States of America	Normal	I-Repo	85498607	19-Dec-2011	4252856	04-Dec-2012

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18.	T/21441 US01	United States of America	Normal	TICONDEROGA	77762763	18-Jun-2008	3905105	11-Jan-2011
19.	T/21443 US01	United States of America	Normal	TRAIANA	767222031	03-Mar-2001	2633079	08-Oct-2002
20.	T/22096 US01	United States of America	Normal	ULTIMATCH	85178839	17-Nov-2010	4073034	20-Dec-2011
21.	T/23214 US01	United States of America	Normal	BROKERTEC Logo (New - Greyscale)	86219983	13-Mar-2014	4631628	04-Nov-2014
22.	T/23333 CA01	Canada	Normal	BROKERTEC Logo (New - Black and White)	1678805	28-May-2014		

II. Patents

	Country	Case Ref	Title	Application No.	Filing Date	Case Status	Registration No.
1.	United States of America	P/53146.US01	COLLATERAL ALLOCATION	10/632149	30/07/2003	Registered	7593886
2.	Australia	P/53147.AU01	DIRECT MESSAGING	2004268772	02/09/2004	Abandoned by client	
3.	European Patent Office	P/53147.EP01	DIRECT MESSAGING	04783006.2	02/09/2004	Abandoned by client	
4.	United States of America	P/53147.US01	DIRECT MESSAGING	10/933152	02/09/2004	Registered	7725373
5.	United States of America	P/53147.US02	DIRECT MESSAGING	60/499673	02/09/2003	Abandoned by client	
6.	United States of America	P/53147.US03	DIRECT MESSAGING	12/709635	02/09/2004	Abandoned by client	
7.	United States of America	P/53147.US04	DIRECT MESSAGING	12/758089	02/09/2004	Published	
8.	United States of America	P/53147.US05	DIRECT MESSAGING	14/051564	02/09/2004	Abandoned by client	
9.	United States of America	P/53149.US01	FIRST LOOK	10/990746	17/11/2004	Abandoned by client	
10.	United States of America	P/53149.US02	FIRST LOOK	11/332869	17/11/2004	Not renewed & abandoned	7840478
11.	United States of America	P/53149.US03	FIRST LOOK	12/906655	17/11/2004	Abandoned by client	
12.	United States of America	P/53149.US04	FIRST LOOK	12/903021	17/11/2004	Registered	8260700
13.	United States of America	P/53149.US05	FIRST LOOK	13/558046	17/11/2004	Registered	8407134
14.	United States of America	P/53150.US01	BLOCK TRADING	60/772066	10/02/2006	Abandoned by client	
15.	United States of America	P/53150.US02	BLOCK TRADING	11/705347	12/02/2007	Registered	7966249
16.	United States of America	P/53160.US01	Linked Orders	11/242821	03/10/2005	Registered	7761365

17.	United States of America	P/53160.US02	Linked Orders	12/708006	03/10/2005	Registered	8249879
18.	United States of America	P/53160.US03	Linked Orders		03/10/2005	Abandoned by client	
19.	United States of America	P/53160.US04	Linked Orders	12/614740	03/10/2005	Registered	7844543
20.	United States of America	P/53160.US05	Linked Orders	12/614700	03/10/2005	Registered	7844542
21.	Parent Cooperation Treaty	P/53160.WO01	Linked Orders	PCT/US2006/038241	02/10/2006	PCT Stage Ended	
22.	United States of America	P/53161.US01	Negotiating in the Middle (Parent Case)	11/700038	31/01/2007	Registered	7860780
23.	United States of America	P/53161.US02	Negotiating in the Middle (Continuation)	12/951329	31/01/2007	Application filed	
24.	United States of America	P/53163.US01	Blotter	11/291465	30/11/2005	Registered	8255315
25.	United States of America	P/53163.US02	Blotter	12/364091	30/11/2005	Registered	8374950
26.	United States of America	P/53174.US01	Repo System(Corporate Bond)	11/062189	17/02/2005	Abandoned by client	
27.	United States of America	P/53174.US02	Repo System(Corporate Bond)	11/371696	17/02/2005	Application filed	
28.	United States of America	P/53174.US03	Repo System(Corporate Bond)	12/436752	17/02/2005	Abandoned by client	
29.	United States of America	P/53174.US04	Repo System(Corporate Bond)	12/570769	17/02/2005	Abandoned by client	
30.	United States of America	P/53174.US05	Repo System(Corporate Bond)	13/029604	17/02/2005	Abandoned by client	
31.	United States of America	P/53174.US06	Repo System(Corporate Bond)	13/180008	17/02/2005	Published	
32.	United States of America	P/53175.US01	Price For Call	11/070746	02/03/2005	Abandoned by client	
33.	United States of America	P/53175.US02	Price For Call	11/371704	02/03/2005	Registered	7827093
34.	United States of America	P/53175.US03	Price For Call	12/782031	02/03/2005	Registered	8175957

35.	United States of America	P/53175.US04	Price For Call	12/782148		02/03/2005	Registered	8364573
36.	United States of America	P/53175.US05	Price For Call	12/782213		02/03/2005	Registered	8364574
37.	United States of America	P/53176.US01	Best Execution	11/388737		27/03/2006	Registered	8103575
38.	United States of America	P/53176.US02	Best Execution	13/345179		27/03/2006	Abandoned by client	
39.	United States of America	P/53178.US01	US Credit	11/402466		12/04/2006	Registered	8473400
40.	United States of America	P/53179.US01	Bid When Figure	11/431293		09/05/2006	Abandoned by client	
41.	United States of America	P/53179.US02	Bid When Figure	12/508637		09/05/2006	Registered	8380610
42.	United States of America	P/53180.US01	Double Public	11/475975		28/06/2006	Registered	8005745
43.	United States of America	P/53180.US02	Double Public	13/172965		28/06/2006	Abandoned by client	
44.	United States of America	P/53180.US03	Double Public	13/761431		28/06/2006	Registered	8762266
45.	United States of America	P/60869.US01	Energy Matrix	11/781495		23/07/2007	Abandoned by client	
46.	United States of America	P/60669.US02	Energy Matrix	12/662591		23/07/2007	Registered	8938397
47.	United States of America	P/61027.US01	Trade Through	12/165083		01/07/2008	Registered	7631504
48.	United States of America	P/61027.US02	Trade Through	12/900010		01/07/2008	Registered	7849599
49.	United States of America	P/61027.US03	Trade Through	13/098555		01/07/2008	Application filed	
50.	United States of America	P/61164.US01	Central Clearing	61/088608		01/08/2008	Abandoned by client	
51.	United States of America	P/61164.US02	Central Clearing	12/533662		31/07/2009	Published	

52.	United States of America	P/63178.US01	Traiana Converting OTC FX Into Perpetual Futures	61/175869	06/05/2009	Abandoned by client	
53.	United States of America	P/65119.US01	Fixing Orders	61/375352	20/08/2010	Abandoned by client	
54.	United States of America	P/65119.US02	Fixing Orders	13/212524	18/08/2011	Application filed	
55.	United States of America	P/65119.US03	Fixing Orders	13/592855	18/08/2011	Abandoned by client	
56.	United States of America	P/65119.US04	Fixing Orders	13/611185	18/08/2011	Abandoned by client	
57.	United States of America	P/65635.US01	CDS Spot	13/026501	14/02/2011	Published	
58.	United States of America	P/65635.US02	CDS Spot	13/361238	14/02/2011	Abandoned by client	
59.	Patent Cooperation Treaty	P/65635.WO01	CDS Spot	PCT/IB2012/000392	14/02/2012	Abandoned by client	
60.	United States of America	P/66006.US01	Reset Curve Range	13/465315	30/05/2012	Published	
61.	United States of America	P/66007.US01	Traiana Credit Link	61/500846	24/06/2011	Abandoned by client	
62.	United States of America	P/66007.US02	Traiana Credit Link	13/530711	22/06/2012	Abandoned by client	
63.	United States of America	P/66007.US03	Traiana Credit Link	13/645216	22/06/2012	Abandoned by client	
64.	United States of America	P/66007.US04	Traiana Credit Link	15/144275	22/06/2012	Application filed	
65.	United States of America	P/68443.US01	Size priority	61/777795	12/03/2013	Abandoned by client	
66.	United States of America	P/68443.US02	Size priority	14/205735	12/03/2014	Application filed	
67.	European Patent Office	P/69638.EP01	Latency Floor	14/184147.8	09/09/2014	Exam requested	
68.	United States of America	P/69638.US01	Latency Floor	61/875263	09/09/2013	Abandoned by client	

69.	United States of America	P/69533.US02	Latency Floor	14/481022	09/09/2014	Published	
70.	United States of America	P/69807.US01	Traiana: On-Demand Limit Push	61/999730	11/10/2013	Abandoned by client	
71.	United States of America	P/69907.US02	Traiana: On-Demand Limit Push	61/928598	17/01/2014	Abandoned by client	
72.	United States of America	P/69807.US03	Traiana: On-Demand Limit Push	14/513487	14/10/2014	Application filed	
73.	United States of America	P/70293.US01	Central Limit Order Book Quote Count	62/304415	07/03/2016	Application filed	
74.	United States of America	P/70652.US01	Bond Correlated Call(BCC) Index	61/882639	18/10/2013	Abandoned by client	
75.	United States of America	P/70652.US02	Bond Correlated Call(BCC) Index	14/517090	17/10/2014	Application filed	
76.	United States of America	P/74891.US01	Real-Time Insurance Model	62/304505	07/03/2016	Application filed	
77.	United States of America	P/53146.US02	COLLATERAL ALLOCATION	60/999903	30/07/2002	Abandoned by client	
78.	United States of America	P/53146.US03	COLLATERAL ALLOCATION	12/539411	30/07/2003	Registered	7917427

EXECUTED by the parties

ICAP SERVICES NORTH AMERICA LLC:

Signed by _____

Name: Nicholas Deflora

Title: Director/CEO

INTERCAPITAL SERVICES NORTH AMERICA LLC:

Signed by _____

Name: Jason Cohen

Title: Director/Co-CEO

EXECUTED by the parties

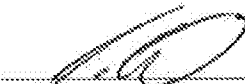
ICAP SERVICES NORTH AMERICA LLC:

Signed by 

Name: Nicholas Deffora

Title: Director/CEO

INTERCAPITAL SERVICES NORTH AMERICA LLC:

Signed by 

Name: Jason Cohen

Title: Director/Co-CEO