

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4538889

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	STEVEN I GIVOT	06/05/2017
RECEIVING PARTY DATA		
Name:	CHICAGO STOCK EXCHANGE, INC.	
Street Address:	440 SOUTH LASALLE STREET	
Internal Address:	SUITE 800	
City:	CHICAGO	
State/Country:	ILLINOIS	
Postal Code:	60605	
PROPERTY NUMBERS Total: 1		
	Property Type	Number
	Application Number:	15665051
CORRESPONDENCE DATA		
Fax Number:		
<i>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.</i>		
Email:	request@slwip.com	
Correspondent Name:	SCHWEGMAN LUNDBERG & WOESSNER, P.A.	
Address Line 1:	PO BOX 2938	
Address Line 4:	MINNEAPOLIS, MINNESOTA 55402-0938	
ATTORNEY DOCKET NUMBER:	4663.001US3	
NAME OF SUBMITTER:	MICHELLE RED BEAR	
SIGNATURE:	/Michelle Red Bear/	
DATE SIGNED:	08/07/2017	
Total Attachments: 4		
source=4663001US3RecordationCS#page1.tif		
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source=4663001US3RecordationCS#page3.tif		
source=4663001US3RecordationCS#page4.tif		

RECORDATION FORM COVER SHEET
PATENTS ONLY

Atty Ref/Docket No.: 4663.001US3

Patent and Trademark Office

To the Director of the U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Steven I. Givot

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement ☐ Change of Name

☐ Other

Execution Date: June 5, 2017

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

Name: Chicago Stock Exchange, Inc.

Street Address: 440 South LaSalle Street
Suite 800

City: Chicago State: IL Zip: 60605

Country: United States of America

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

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

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 15/665,051, Filed July 31, 2017

Additional numbers attached? ☐ Yes ☒ No

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

Name: Mark Bergner

Address:

Schwegman Lundberg & Woessner, P.A.
P.O. Box 2938
Minneapolis, MN 55402--0938

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 0.00

☐ Enclosed

☐ Authorized to be charged to deposit account 19-
0743

8. Please charge any additional fees or credit any over payments to our Deposit Account No.: 19-0743

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Mark Bergner/Reg. No. 45,877

Name of Person Signing

Mark Bergner
Signature

August 4, 2017

Date

Total number of pages including cover sheet: 4

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks

Mail Stop Assignment Recordation Services

P.O. Box 1450

Alexandria, VA 22313-1450

PATENT
REEL: 043220 FRAME: 0366

ASSIGNMENT

WHEREAS, Steven Givot (hereinafter the "Undersigned") has made one or more inventions and other subject matter (hereinafter collectively referred to as the "Invention") which are described in a patent application filed on October 15, 2015, which application was assigned US patent application serial number 14/884,526, and which is titled SYSTEM AND METHOD FOR OPERATING AN ON-DEMAND AUCTION FOR A FINANCIAL INSTRUMENT described in a patent application filed on January 15, 2015 assigned US application serial number 62/103,807, and titled SYSTEM & METHOD FOR OPERATING AN ON-DEMAND AUCTION FOR A FINANCIAL INSTRUMENT.

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency, and adequacy of which are hereby acknowledged by the Undersigned, the Undersigned do hereby irrevocably and unconditionally:

CONVEY, ASSIGN, AND TRANSFER to Chicago Stock Exchange, Inc. (the "Assignee"), a corporation of the State of Illinois, having a place of business at 440 South LaSalle Street, Suite 800, Chicago, IL 60605, the Undersigned's entire right, title, and interest for the United States and all foreign countries and jurisdictions in and to:

- the Invention which is disclosed in the above-identified application or applications;

- such application or applications, and all divisional, continuing (including continuation-in-part), substitute, renewal, reissue, and all other applications for a patent or patents which have been or shall be filed in the United States (including all provisional and non-provisional applications), and in all foreign countries and jurisdictions based in whole or in part on any of such invention (including any application for a utility model or an innovation patent application);

- all original and reissued patents which have been or shall be issued in the United States and all foreign countries and jurisdictions based in whole or in part on any of such invention;

- including the right to claim priority to the above-identified patent application or applications in relation to subject matter based in whole or in part on the above-identified patent application or applications and any of the foregoing including the right to file foreign applications under the provisions of any convention or treaty;

- and including the right to all causes of action, remedies, and other enforcement rights related to the above-identified application or applications, including without limitation the right to sue for past, present, or future infringement, misappropriation, or violation of any and all rights related to the above-identified patent application or applications and any of the foregoing, including the right to obtain and collect damages for past, present, or future infringement;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such invention to the Assignee;

AUTHORIZE AND REQUEST that any attorney associated with U.S. Patent and Trademark Office (USPTO) Customer No. 21186 may (directly or through his/her designee) delete, insert, or alter any

information related to the above-identified patent application or applications or any of the foregoing, after execution of this Assignment;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or shall be made to others by the Undersigned, and that the full right to convey the same as herein expressed is possessed by the Undersigned;

COVENANT, that when requested and without compensation, but at the expense of the Assignee, in order to carry out in good faith the intent and purpose of this Assignment, the Undersigned shall (1) execute all provisional, non-provisional, divisional, continuing (including continuation-in-part), substitute, renewal, reissue, and all other patent applications for the invention; (2) execute all rightful oaths, declarations, assignments, powers of attorney and other papers for the invention; (3) communicate to the Assignee all facts known to the Undersigned relating to the invention and the history thereof; (4) cooperate with the Assignee in any interference, reexamination, reissue, opposition, dispute, or litigation involving any of the applications or patents for the invention; and (5) take such further actions as the Assignee shall reasonably consider necessary or desirable for vesting title to such invention in the Assignee, or for securing, maintaining and enforcing proper patent protection for the invention;

COVENANT, that should any provision of this agreement be held unenforceable by an authority of competent jurisdiction, such a ruling shall not affect the validity and enforceability of the remaining provisions. To the extent that any such provision is found to be unenforceable, the Undersigned, when requested and without compensation shall act in good faith to substitute for such provision a new provision with content and purpose as close as possible to the provision deemed unenforceable.

THIS AGREEMENT IS TO BE BINDING on the heirs, assigns, representatives, and successors of the Undersigned, and is to extend to the benefit of the successors, assigns, and nominees of the Assignee.

AGREED as of the date of my signature below:

Assignment

Assignors: Steven Givot

Title: SYSTEM AND METHOD FOR OPERATING AN ON-DEMAND AUCTION FOR A FINANCIAL INSTRUMENT

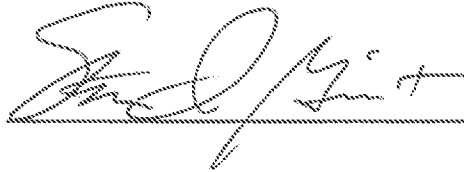
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Docket No: 4663.001US1

Client Ref. No. CHX-100-8

Assignor:

(Signature):



Name: Steven Givot

City/State:

Date:

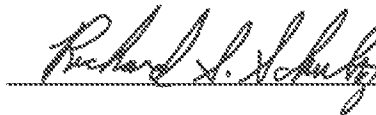
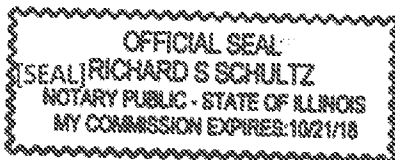
6/5/17

STATE OF Illinois

)ss

COUNTY OF Cook

On this 5th day of June, 2017 before me personally appeared Steven Givot, to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.



Notary Public