

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4743785

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
DANIEL R. FITZPATRICK	03/09/2007
DANIEL GEOFFREY KRAMER	04/11/2007
JAMES WORDEN TOFFEY	03/13/2007
RECEIVING PARTY DATA	
Name:	THOMSON FINANCIAL LLC
Street Address:	195 BROADWAY
City:	NEW YORK
State/Country:	NEW YORK
Postal Code:	10007
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	13242567
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:	shannon.fritsche@thomsonreuters.com
Correspondent Name:	THOMSON REUTERS GLOBAL RESOURCES UNLIMITED COMPANY
Address Line 1:	NEUHOFSTRASSE 1
Address Line 4:	6340 BAAR, SWITZERLAND
ATTORNEY DOCKET NUMBER:	TRM-S&T_024_US2
NAME OF SUBMITTER:	SHANNON FRITSCHKE
SIGNATURE:	/Shannon Fritsche/
DATE SIGNED:	12/20/2017
Total Attachments: 6	
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RECORDATION FORM COVER SHEET
PATENTS ONLY

Atty Ref/Docket No.: 1962.010US1

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):

Daniel R. Fitzpatrick, Daniel Geoffrey Kramer and James Worden Toffey

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

Name: Thomson Financial LLC

Street Address: 195 Broadway

City: New York State: NY Zip: 10007

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

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

3. Nature of conveyance:

☒ Assignment ☐ Merger☐ Security Agreement ☐ Change of Name☐ OtherExecution Date: March 9, 2007, April 11, 2007, March 13, 2007

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. 60/721,747, filed September 29, 2005

Serial No. 11/540,501, filed September 29, 2006

Serial No. PCT/US2006/037857 filed September 29, 2006

Additional numbers attached? ☐ Yes ☒ No

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

Name: Eduardo E. Drake

Address:

Schwegman, Lundberg, Woessner & Khuth, P.A.

P.O. Box 2938

Minneapolis, MN 55402-0938

6. Total number of applications and patents involved: 237. Total fee (37 CFR 3.41): \$40.00 120.00 25 May 2007☐ 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

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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.

Eduardo E. Drake/Reg. No. 40,594

Name of Person Signing

Signature

Date

Total number of pages including cover sheet: 6

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

700326761

PATENT
REEL: 019350 FRAME: 0108PATENT
REEL: 044447 FRAME: 0783

C.H. \$120.00 19-0743 60721747

ASSIGNMENT

WHEREAS, We, Daniel R. Fitzpatrick, residing at 51 Parkview Terrace, Summit, NJ 07901, and Daniel Geoffrey Kramer, residing at 3 Pinewood Road, Manchester, MA 01944, and Robert Manuel Moitoso, residing at 55 Upland Road, Marshfield, MA 02050, and James Worden Toffey, residing at 30 Pembroke Road, Summit, NJ 07901, made certain new and useful inventions and improvements for which a US Provisional Patent Application was filed on September 29, 2005 under application no. 60/721,747 entitled FINANCIAL INFORMATION SYSTEMS, METHODS, INTERFACES, AND SOFTWARE; and for which a U.S. Patent Application was filed on September 29, 2006, which application was assigned U.S. patent application serial number 11/540,501, and is entitled IOI-BASED BLOCK TRADING SYSTEMS, METHODS, INTERFACES, AND SOFTWARE; and for which an international patent application was filed on September 29, 2006 which application was assigned international application number PCT/US2006/037857 which is entitled IOI-BASED BLOCK TRADING SYSTEMS AND METHODS:

AND WHEREAS, Thomson Financial LLC, a corporation organized and existing under and by virtue of the laws of the State of Delaware, and having an office and place of business at 195 Broadway, New York, NY 10007 (hereinafter "Assignee"), is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted there from, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted there from; and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

PATENT

REEL: 019350 FRAME: 0109

PATENT

REEL: 044447 FRAME: 0784

Docket No: 1962.010US1
Serial Number: 11/540,501
Filing Date: September 29, 2006
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AND, for the consideration aforesaid, we do hereby agree that we and our executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore, we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us and that full right to convey the same as herein expressed is possessed by us.

March IN TESTIMONY WHEREOF, I have hereunto set my hand this 9th day of March, 2007.



Daniel R. Fitzpatrick

STATE OF New Jersey)
)ss
COUNTY OF Hudson)

On this 9th day of March, 2007 before me personally appeared Daniel R. Fitzpatrick, 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.

[SEAL]



Notary Public

Douglas L. Freedman
Attorney at Law
State of New Jersey

PATENT
REEL: 019350 FRAME: 0110

PATENT
REEL: 044447 FRAME: 0785

Docket No: 1962.010US1
Serial Number : 11/540,501
Filing Date : September 29, 2006
Page 3 of 5

IN TESTIMONY WHEREOF, I have hereunto set my hand this 11 day of
April, 2007.

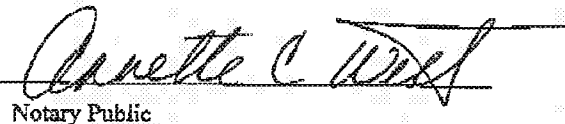

Daniel G. Kramer

STATE OF Massachusetts

COUNTY OF Suppik)ss

On this 11 day of April, 2007 before me personally appeared Daniel G. Kramer, 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.

[SEAL]


Notary Public

PATENT
REEL: 019350 FRAME: 0111

PATENT
REEL: 044447 FRAME: 0786

Docket No: 1962.010US1
Serial Number: 11/540,501
Filing Date: September 29, 2006
Page 4 of 5

IN TESTIMONY WHEREOF, I have hereunto set my hand this _____ day of _____, 2007.

Robert M. Moitoso

STATE OF _____)
)ss
COUNTY OF _____)

On this _____ day of _____, 2007 before me personally appeared Robert M. Moitoso, 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.

[SEAL]

Notary Public

PATENT
REEL: 019350 FRAME: 0112

PATENT
REEL: 044447 FRAME: 0787

Docket No: 1962.0101/S1
Serial Number : 11/540,501
Filing Date : September 29, 2006
Page 3 of 5

IN TESTIMONY WHEREOF, I have hereunto set my hand this 13th day of
March, 2007.

STATE OF New Jersey)
COUNTY OF Hudson)ss

James W. Toffey

On this 13th day of March, 2007 before me personally appeared James W. Toffey, 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.

[SEAL]

Douglas FREEMAN
Notary Public

Attorney at Law
State of New Jersey

RECORDED: 05/25/2007

PATENT
REEL: 019350 FRAME: 0113

RECORDED: 12/20/2017

PATENT
REEL: 044447 FRAME: 0788