

PATENT ASSIGNMENT COVER SHEET

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EPAS ID: PAT4873035

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	RELEASE OF SECURITY INTEREST
CONVEYING PARTY DATA	
Name	Execution Date
PACIFIC WESTERN BANK, AS SUCCESSOR IN INTEREST BY MERGER TO SQUARE 1 BANK	03/15/2018
RECEIVING PARTY DATA	
Name:	AXIOMA, INC.
Street Address:	17 STATE STREET
Internal Address:	STE. 2700
City:	NEW YORK
State/Country:	NEW YORK
Postal Code:	10004
PROPERTY NUMBERS Total: 17	
Property Type	Number
Patent Number:	7698202
Patent Number:	8315936
Application Number:	12827358
Application Number:	13654797
Patent Number:	8700516
Application Number:	13965621
Patent Number:	8533089
Application Number:	13892644
Application Number:	14025127
Application Number:	14051711
Application Number:	14336123
Application Number:	14203807
Patent Number:	8533107
Application Number:	14519991
Application Number:	14505258
Application Number:	14495470
Application Number:	14482685
CORRESPONDENCE DATA	
PATENT	

Fax Number: (919)354-1278

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: 919-314-3086

Email: diligencereview@square1bank.com

Correspondent Name: PACIFIC WESTERN BANK

Address Line 1: 406 BLACKWELL STREET

Address Line 2: SUITE 240

Address Line 4: DURHAM, NORTH CAROLINA 27701

NAME OF SUBMITTER:	NICHOLAS NANCE
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SIGNATURE:	/Nicholas Nance- adb/
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DATE SIGNED:	03/19/2018
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Total Attachments: 5

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RELEASE OF SECURITY INTEREST

This Release of Security Interest is made as of March 15, 2018, by **PACIFIC WESTERN BANK** (as successor in interest by merger to Square 1 Bank) ("Lender") in favor of AXIOMA, INC., a Delaware corporation ("Company") with its principal place of business located at 17 State Street, Ste. 2700, New York, NY 10004.

Recitals

WHEREAS Company granted to Lender a security interest in its copyrights, patents and trademarks, including without limitation its patents and trademarks described on Exhibits A and B attached hereto, (collectively, the "Intellectual Property") under an Intellectual Property Security Agreement dated as of July 30, 2013 (the "Security Agreement"), and recorded with the US Patent and Trademark Office as set forth on Exhibits A and B.

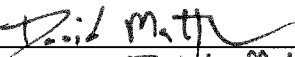
WHEREAS Company has no outstanding obligations to Lender under the terms of the Security Agreement, Lender agrees to release its security interest in the Intellectual Property.

Agreement

Now therefore, Lender agrees that it terminates and releases its security interest in the Intellectual Property and reassigns to Company, without warranty or recourse, all interest of Lender in the Intellectual Property.

LENDER:

PACIFIC WESTERN BANK


Name: David Matthews
Title: VP

406 Blackwell Street
Suite 240
Durham, NC 27701

EXHIBIT A

Patents

Lender's security interest in the following patents was recorded at the US Patent and Trademark Office on December 29, 2015 at Reel and Frame Number 037377/0056:

<u>Description</u>	<u>Patent Application No./Issued Patent No.</u>	<u>Application / Issue Date</u>
IDENTIFYING AND COMPENSATING FOR MODEL MIS-SPECIFICATION IN FACTOR RISK MODELS	7698202	4/13/10
IDENTIFYING AND COMPENSATING FOR MODEL MIS-SPECIFICATION IN FACTOR RISK MODELS	8315936	11/20/12
SYSTEMS AND METHODS FOR ASYNCHRONOUS RISK MODEL RETURN PORTFOLIOS	12827358	6/30/10
IDENTIFYING AND COMPENSATING FOR MODEL MIS-SPECIFICATION IN FACTOR RISK MODELS	13654797	10/18/12
METHODS AND APPARATUS FOR IMPROVING FACTOR RISK MODEL RESPONSIVENESS	8700516	4/15/14
METHODOLOGY AND PROCESS FOR CONSTRUCTING FACTOR INDEXES	13965621	8/13/13
METHODOLOGY AND PROCESS FOR CONSTRUCTING FACTOR INDEXES	8533089	9/10/13
FACTOR RISK MODELS WITH MULTIPLE SPECIFIC RISK ESTIMATES	13892644	5/13/13
PURIFYING PORTFOLIOS USING ORTHOGONAL NON-TARGET FACTOR CONSTRAINTS	14025127	9/12/13
METHODS AND APPARATUS FOR GENERATING PURIFIED MINIMUM RISK PORTFOLIOS	14051711	10/11/13

ADJUSTED FACTOR-BASED PERFORMANCE ATTRIBUTION	14336123	7/21/14
METHODS AND APPARATUS FOR IMPROVING FACTOR RISK MODEL RESPONSIVENESS	14203807	3/11/14

Lender's security interest in the following patents was recorded at the US Patent and Trademark Office on August 1, 2017 at Reel and Frame Number 043157/0566:

<u>Description</u>	<u>Patent Application No./Issued Patent No.</u>	<u>Application / Issue Date</u>
RETURNS-TIMING FOR MULTIPLE MARKET FACTOR RISK MODELS	8533107	9/10/2013
METHODS AND APPARATUS FOR IMPLEMENTING IMPROVED NOTIONAL- FREE ASSET LIQUIDITY RULES	14519991	10/21/2014
PERFORMANCE ATTRIBUTION FOR PORTFOLIOS WITH COMPOSITE INVESTMENTS	14505258	10/2/2014
RISK FACTOR SPLITTING	14495470	9/24/2014
FACTOR-FACTOR COVARIANCE ESTIMATES FOR RISK FACTOR GROUPS IN FACTOR RISK MODELS	14482685	9/10/2014

EXHIBIT B

Trademarks

Lender's security interest in the following trademarks was recorded at the US Patent and Trademark Office on December 29, 2015 at Reel and Frame Number 5698/0485:

<u>Description</u>	Registration / Serial Number	Registration/ Application Date
FLEXIBLE IS BETTER	77458199	4/25/2008