

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5547013

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	DERK PIETER BROUWER	08/01/2002
RECEIVING PARTY DATA		
Name:	NEX GROUP PLC	
Street Address:	2 BROADGATE	
City:	LONDON	
State/Country:	UNITED KINGDOM	
Postal Code:	EC2M 7UR	
PROPERTY NUMBERS Total: 1		
Property Type	Number	
Application Number:	13566464	
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>		
Phone:	3122910860	
Email:	docket-us@lsk-iplaw.com, michelle.marsh@cmegroup.com	
Correspondent Name:	LEMPIA SUMMERFIELD KATZ LLC	
Address Line 1:	20 SOUTH CLARK STREET	
Address Line 2:	SUITE 600	
Address Line 4:	CHICAGO, ILLINOIS 60603	
ATTORNEY DOCKET NUMBER:	004672-00010I-US	
NAME OF SUBMITTER:	JAMES L. KATZ	
SIGNATURE:	/James L. Katz/	
DATE SIGNED:	05/30/2019	
Total Attachments: 6		
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source=Inventor to NEX#page5.tif		

former PTO/SB/15 (8-00) Modified LDLKM

ASSIGNMENT OF UTILITY APPLICATION

Docket Number (Optional)

DAVIDK 3.9-005 CIP

Whereas, I, Derk Pieter Brouwer of
De Lalressestraat 176K, 1075 HM Amsterdam, NETHERLANDS

hereafter referred to as assignor, have invented certain new and useful improvements in
**A SYSTEM AND METHOD OF IMPLEMENTING MASSIVE EARLY TERMINATIONS OF
 LONG TERM FINANCIAL CONTRACTS**

- ☒ for which an application for a United States Letters Patent was filed on May 24, 2002
 Application Number 10/154,689
- ☐ for which an application for a United States Letters Patent was executed by me on _____
- ☐ for which an International Application was filed on _____
 _____, designating the United States.

And

Whereas, TriOptima AB
 a corporation of Sweden herein referred to as "assignee" whose mailing address is
Storskogsvägen 13, SE-167 65 Bromma, SWEDEN
 is desirous of acquiring the entire right, title and interest in the same;

NOW, THEREFORE, in consideration of the sum of one dollars (\$ 1.00), the receipt whereof is acknowledged, and other good and valuable consideration, I as assignor hereby sell, assign and set over to said assignee the entire right, title and interest for the United States of America and all other countries in and to said invention and the aforesaid utility patent application and all original, divisional, continuation, substitute or reissue applications and patents applied for or granted therefor in the United States of America and all other countries, for said invention, including without limitation all applications and patents for said invention claiming priority or benefit of the aforesaid utility application pursuant to any law or treaty, and including the right to claim such priority or benefit and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said improvements or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for me and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all original, divisional, continuation, reissue and other applications for Letters Patent on said improvements and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said improvements, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to aid assignee, its successors, assigns and nominees to obtain patent protection for said improvements in all countries, the expenses incident to said applications to be borne and paid by said assignee.

1. 8. 02 (1st Aug)
 Date

Derk Pieter Brouwer

H. Croft
 Witness

HEATHER CROFT
 Printed Name of Witness



Principal subsidiaries (as identified in the NEX Group plc annual report for the year ended 31 March 2018)

As at 30 September 2018

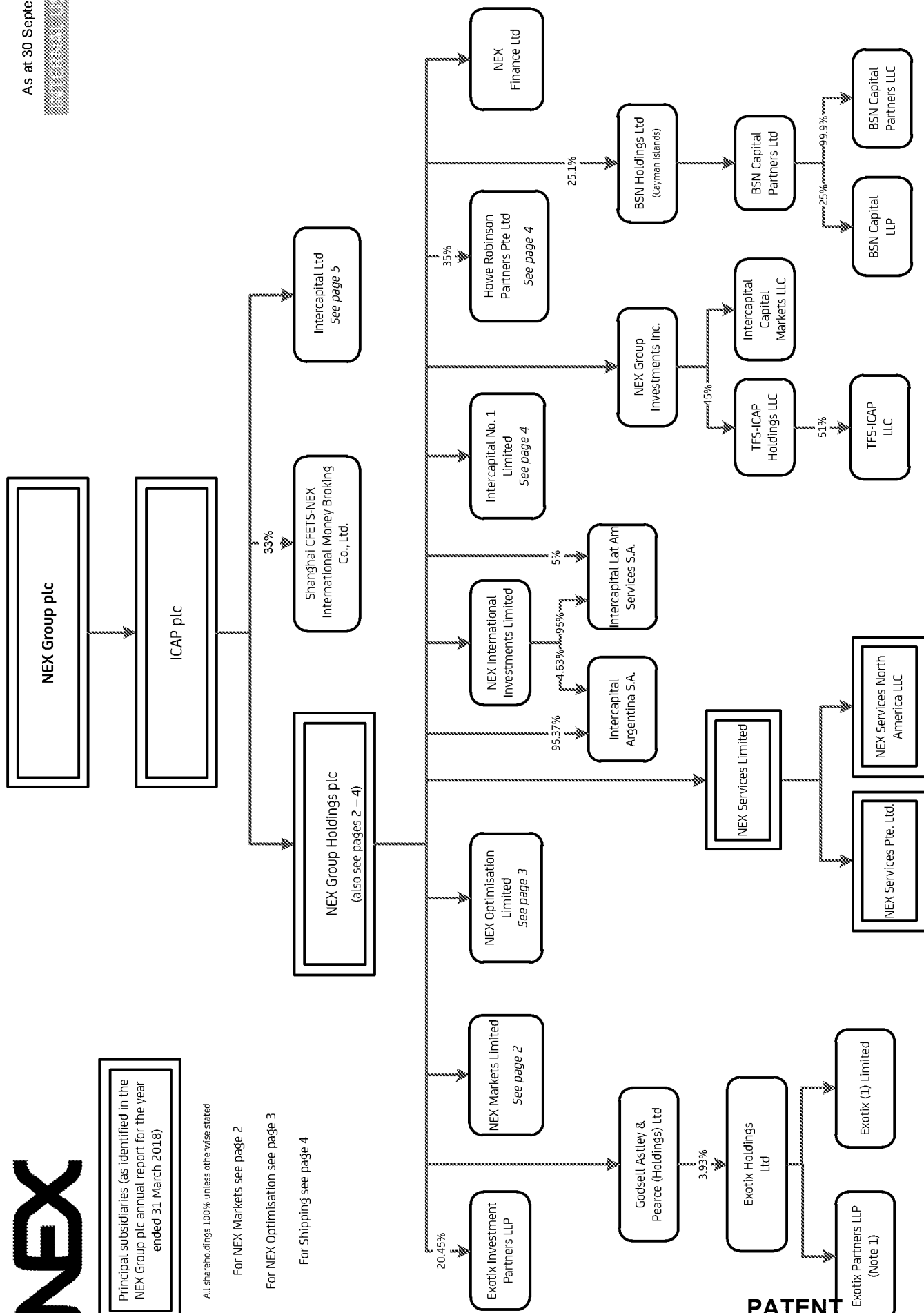


All shareholdings 100% unless otherwise stated

For NEX Markets see page 2

For NEX Optimisation see page 3

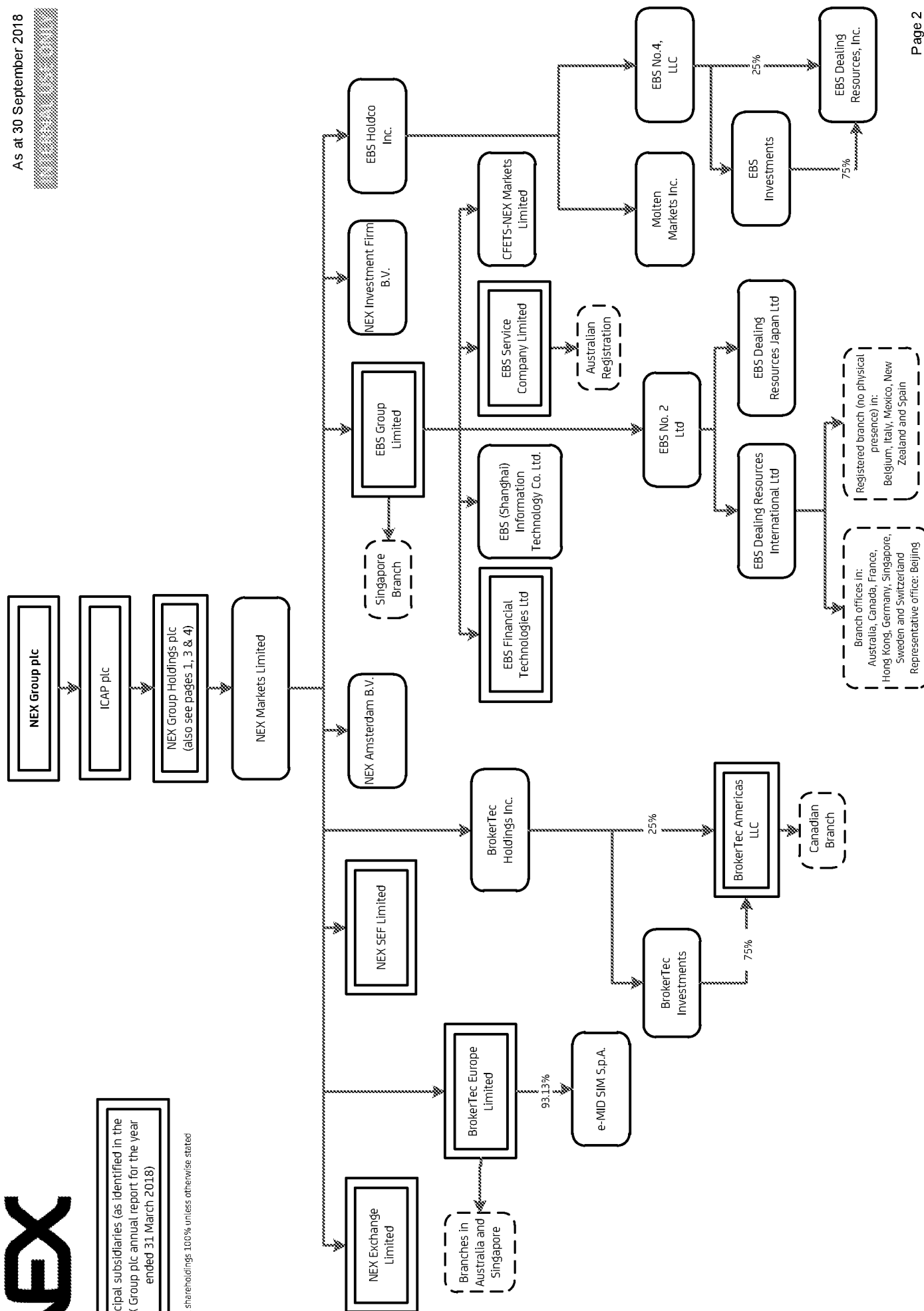
For Shipping see page 4



PATENT

REEL: 049318 FRAME: 0856

Note 1: Exotix Limited holds one capital point in Exotix Partners LLP on trust for Exotix Holdings Limited.

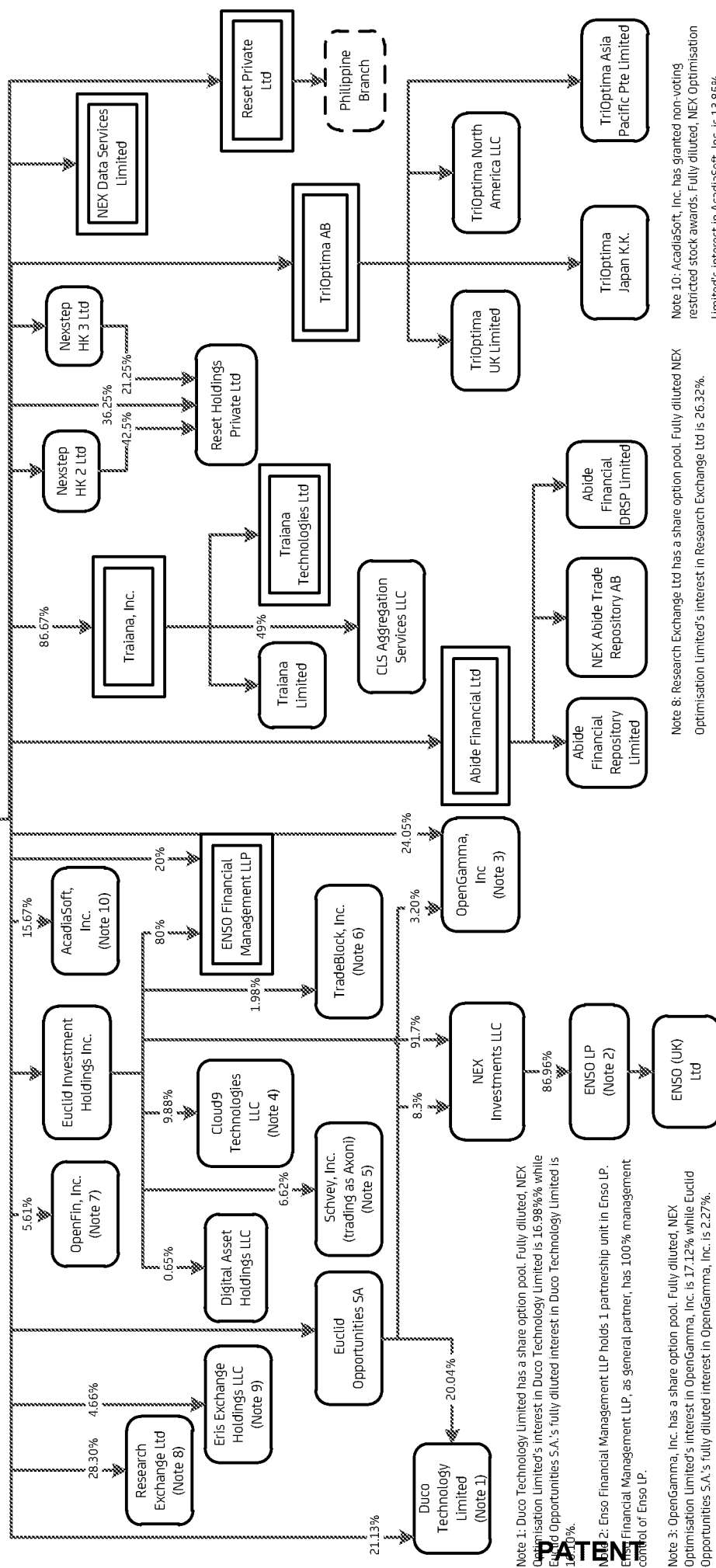
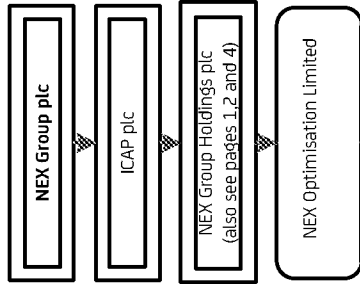




Principal subsidiaries (as identified in the NEX Group plc annual report for the year ended 31 March 2018)

All shareholdings 100% unless otherwise stated

As at 30 September 2018



Note 1: Duco Technology Limited has a share option pool. Fully diluted, NEX Optimisation Limited's interest in Duco Technology Limited is 16.98% while Euclid Opportunities S.A.'s fully diluted interest in Duco Technology Limited is 1.13%.

Note 2: ENSO Financial Management LLP holds 1 partnership unit in ENSO LP. ENSO Financial Management LLP, as general partner, has 100% management control of ENSO LP.

Note 3: OpenGamma, Inc. has a share option pool. Fully diluted, NEX Optimisation Limited's interest in OpenGamma, Inc. is 17.12% while Euclid Opportunities S.A.'s fully diluted interest in OpenGamma, Inc. is 2.27%.

Note 4: Euclid Investment Holdings Inc. has a 9.88% voting interest and a 8.88% economic interest in Cloud9 Technologies LLC.

Note 5: Schvey, Inc. has a share option pool. Fully diluted, Euclid Investment Holdings, Inc.'s interest in Schvey, Inc. is 5.96%

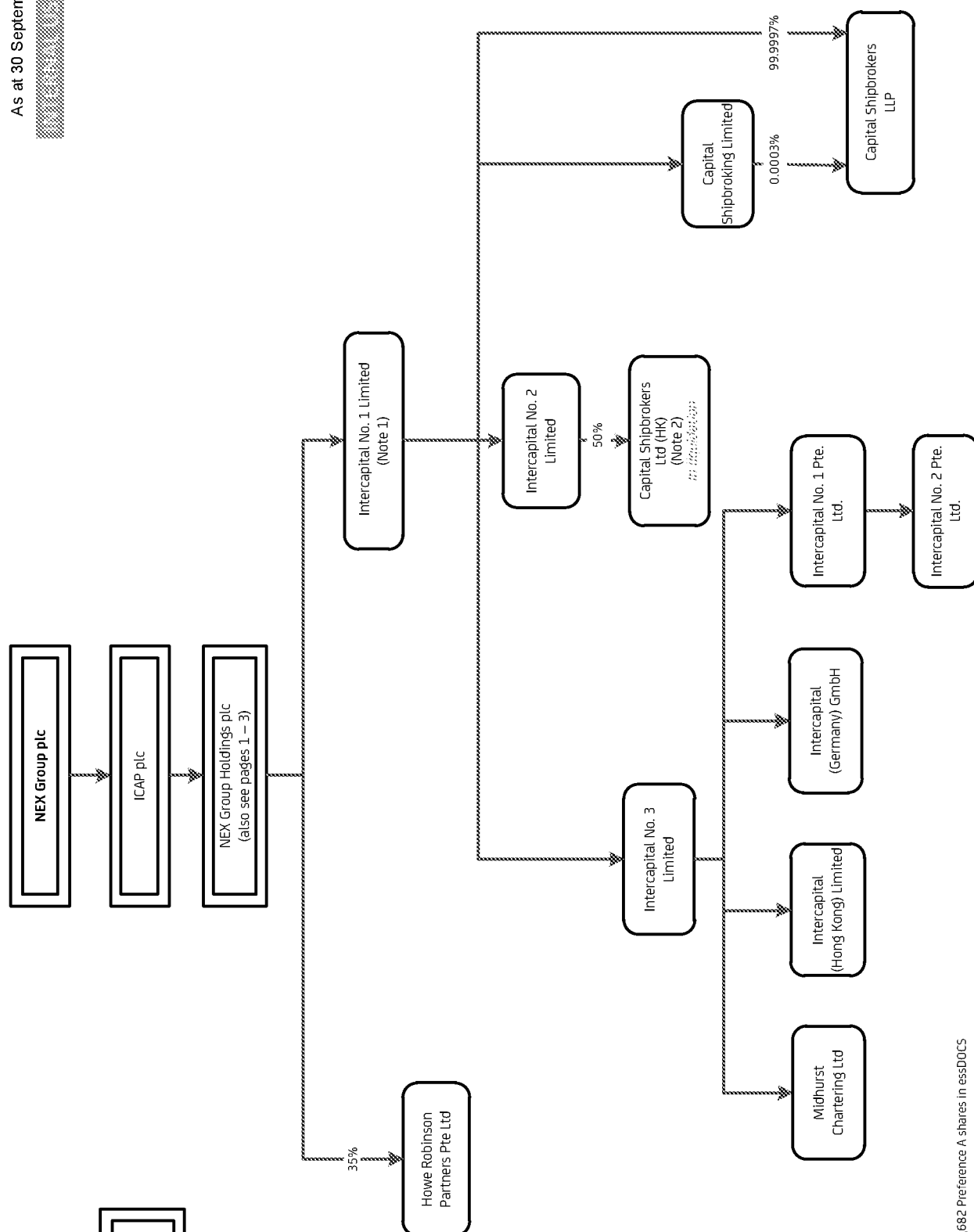
Note 6: TradeBlock, Inc. has a share option pool. Fully diluted, Euclid Investment Holdings, Inc.'s interest in TradeBlock, Inc. is 1.70%.

Note 7: OpenFin, Inc. has a share option pool. Fully diluted, Nex Optimisation Limited's interest in OpenFin, Inc. is 4.89%.

Note 8: Research Exchange Ltd has a share option pool. Fully diluted NEX Optimisation Limited's interest in Research Exchange Ltd is 26.32%.

Note 9: Eris Exchange Holdings, LLC has an equity incentive plan and stock reserved for liquidity providers. Fully diluted, NEX Optimisation Limited has a 4.09% interest in Eris Exchange Holdings, LLC.

Note 10: AcadiaSoft, Inc. has granted non-voting restricted stock awards. Fully diluted, NEX Optimisation Limited's interest in AcadiaSoft, Inc. is 13.85%.



Note 1: Intercapital No. 1 Limited holds 11,682 Preference A shares in essDOCS Limited.

Note 2: Intercapital No. 2 Limited has 50% voting interest and 45% economic interest in Capital Shipbrokers Ltd.

