

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5708540

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
JAMES SINCLAIR	03/24/2004
JAMES O'HAGAN	03/29/2004
EDWARD R. HOWORKA	03/24/2004
NEENA JAIN	04/23/2004
RECEIVING PARTY DATA	
Name:	NEX GROUP PLC
Street Address:	20 SOUTH WACKER DRIVE
City:	CHICAGO
State/Country:	ILLINOIS
Postal Code:	60606
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	13482486
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:	jpadalino@lsk-iplaw.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:	004672-02667V-US
NAME OF SUBMITTER:	JAMES L. KATZ
SIGNATURE:	/James L. Katz/
DATE SIGNED:	09/09/2019
Total Attachments: 8	
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PATENT APPLICATION ASSIGNMENT
SOLE OR JOINT INVENTORS
EXECUTED OUTSIDE U.S.A.

FILE NO. E3331.0601

WHEREAS, We, James SINCLAIR, James O'HAGAN, Edward R. HOWORKA, and Jain NEENA as assignors, have invented certain improvements in **TRADING SYSTEM** or which an application for United States Letters Patent has been executed by us of even date herewith; and

WHEREAS, Electronic Broking Services Limited, 55-56, Lincoln's Inn Fields, London WC2A 3LJ, United Kingdom, as assignee, is desirous of acquiring all right, title and interest in and to said invention and any Patent that may be granted therefor.


NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, We, as assignors, hereby sell, assign and set over to said assignee the entire right, title and interest for the United States and all other countries in and to said invention and the aforesaid application for Patent, all original, divisional, continuation, substitute or reissue applications and patents applied for or granted therefor in the United States and all other countries, including all rights of priority from the filing of said application, and all rights for past infringement, and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said inventions or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for ourselves and our legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all divisional, continuation, reissue and other applications for Patent on said inventions 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 inventions, 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 assist assignee, its successors, assigns and nominees to obtain patent protection for said invention in the United States and all other countries, the expenses incident to said applications to be borne and paid by said assignee.

Date: 24TH MARCH 2004

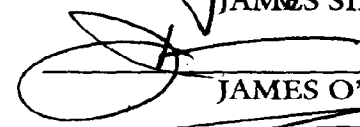
Date: 25. March 2004

Date: 24TH MARCH 2004

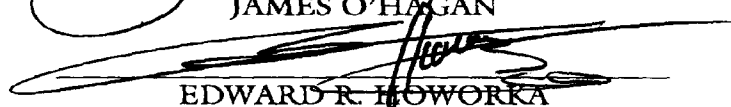
Date: 23rd April 2004



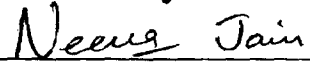
JAMES SINCLAIR



JAMES O'HAGAN



EDWARD R. HOWORKA



JAIN NEENA

LEGALIZATION RECOMMENDED



**CERTIFICATE OF INCORPORATION
ON CHANGE OF NAME**

Company No. 2633663

The Registrar of Companies for England and Wales hereby certifies that
ELECTRONIC BROKING SERVICES LIMITED

having by special resolution changed its name, is now incorporated
under the name of

EBS GROUP LIMITED

Given at Companies House, London, the 29th June 2004



THE OFFICIAL SEAL OF THE
REGISTRAR OF COMPANIES



Companies House

**PATENT
REEL: 050316 FRAME: 0227**

ATTACHMENT A

ATTORNEY DOCKET NUMBER	SERIAL NO.	FILING DATE
E3331.0467	09/602,498	June 23, 2000
E3331.0458	09/602,499	June 23, 2000
E3331.0439	09/602,502	June 23, 2000
E3331.0514	09/603,389	June 23, 2000
E3331.0432	09/603,390	June 23, 2000
E3331.0485	09/603,514	June 23, 2000
E3331.0495	09/603,515	June 23, 2000
E3331.0423	09/603,523	June 23, 2000
E3331.0417	09/753,940	January 03, 2001
E3331.0450	09/896,220	June 29, 2001
E3331.0516	09/897,594	June 29, 2001
E3331.0525	09/942,426	August 29, 2001
E3331.0507	10/109,981	March 27, 2002
E3331.0532	10/202,827	July 26, 2002
E3331.0531	10/205,535	July 26, 2002
E3331.0601	10/694,758	October 29, 2003



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

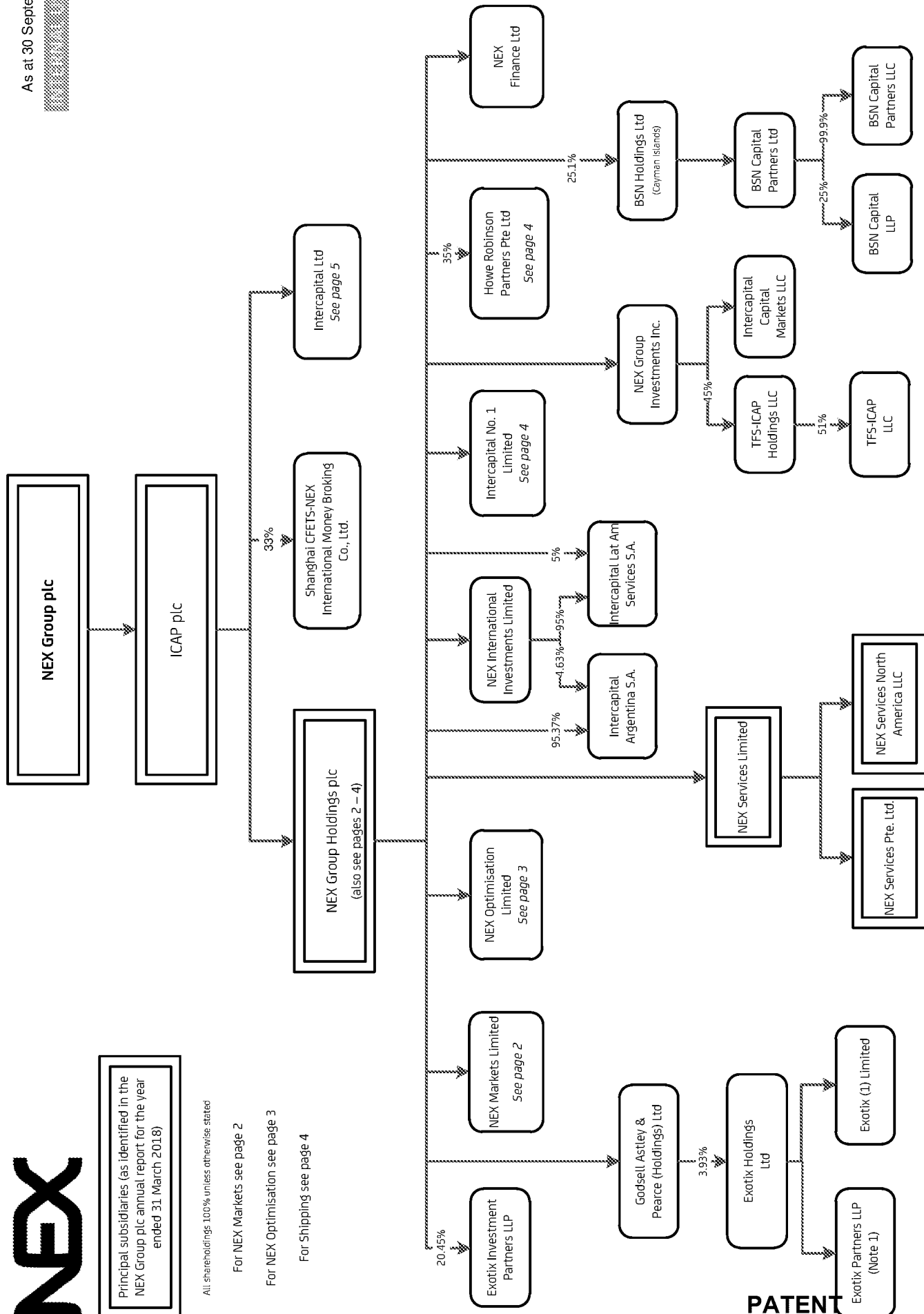
As at 30 September 2018

All shareholdings 100% unless otherwise stated

For NEX Markets see page 2

For NEX Optimisation see page 3

For Shipping see page 4



PATENT

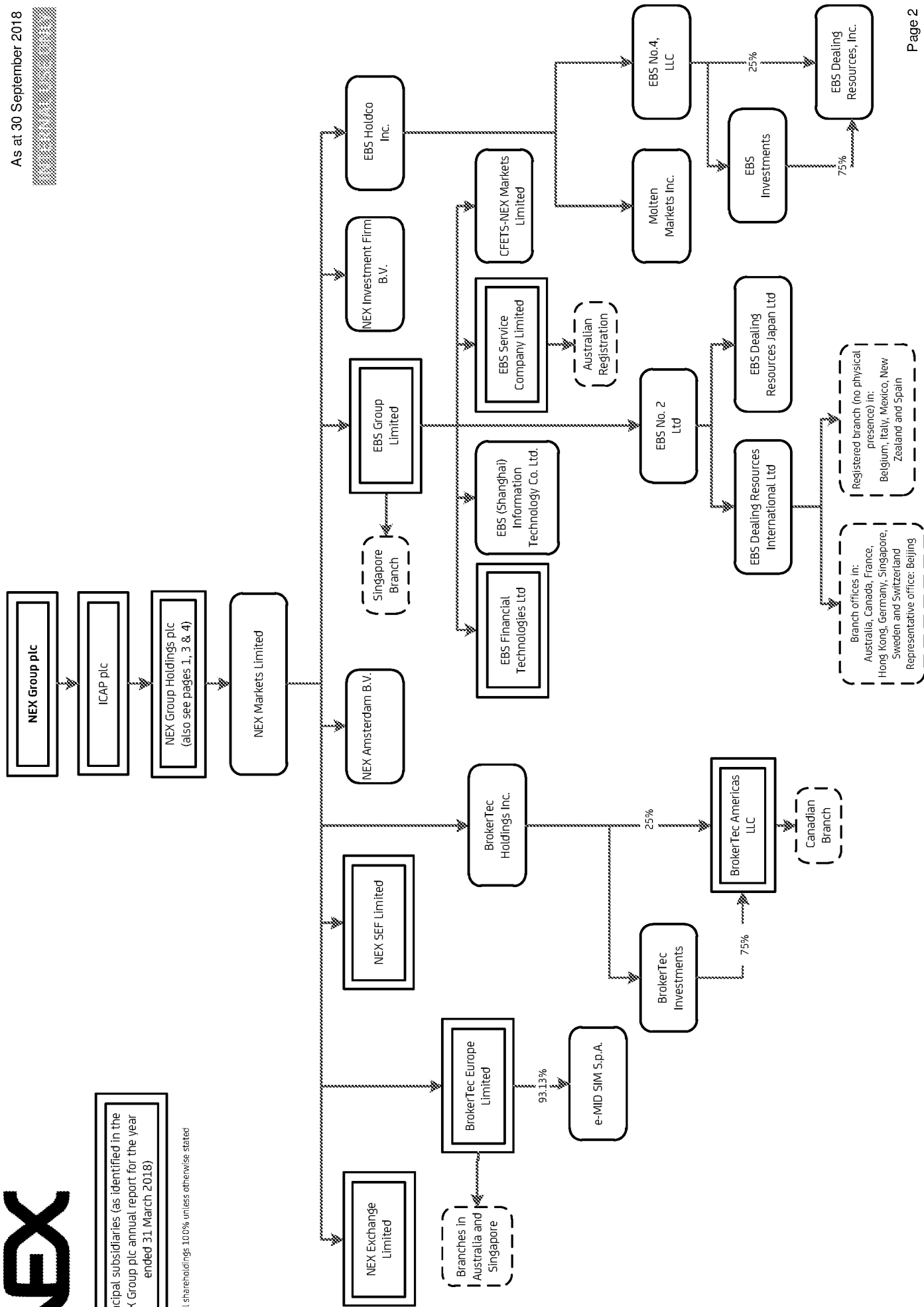
REEL: 050316 FRAME: 0229

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

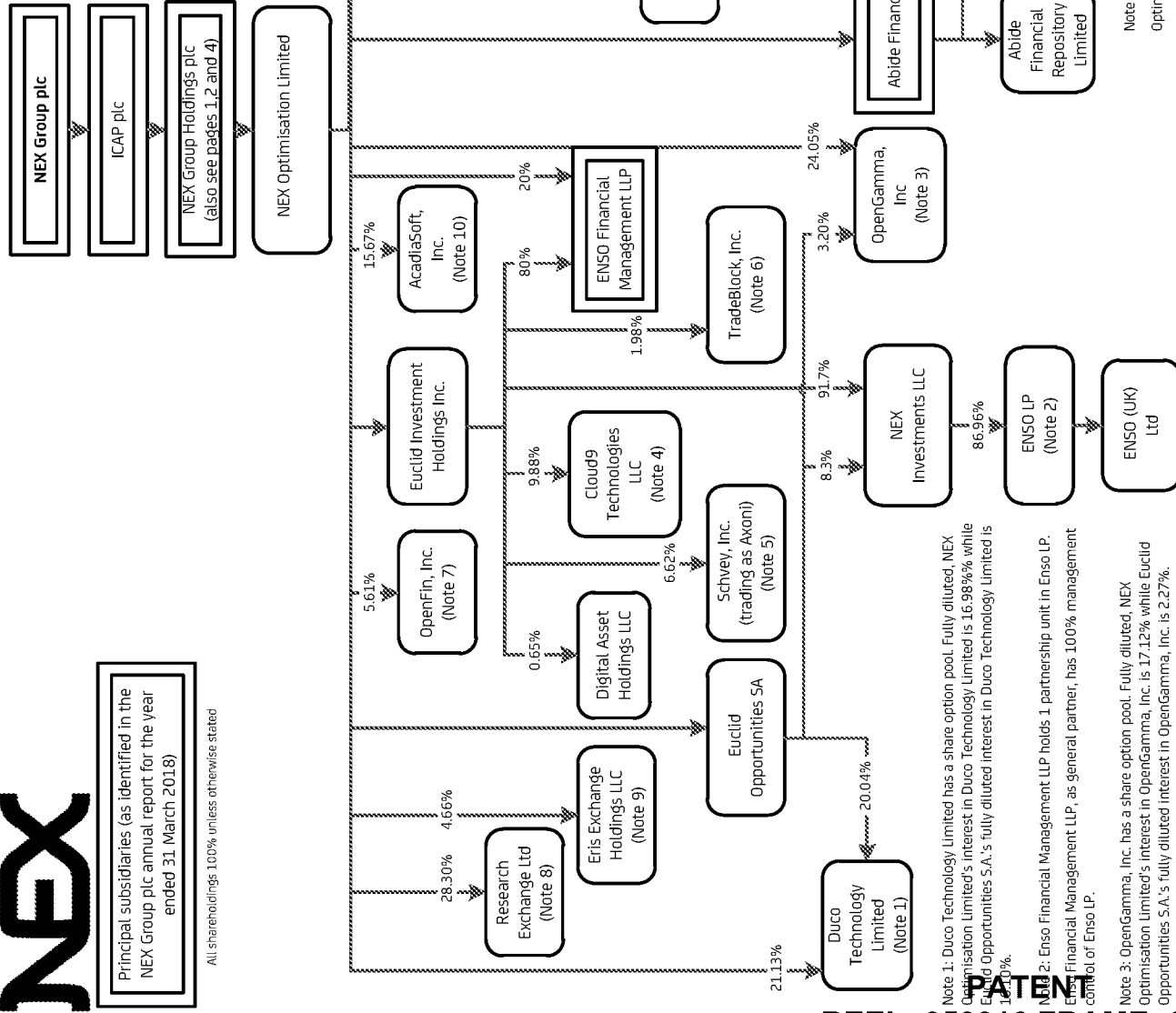




Principal subsidiaries (as identified in the NEX Group plc annual report for the year ended 31 March 2018)

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 1.49%.

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%.

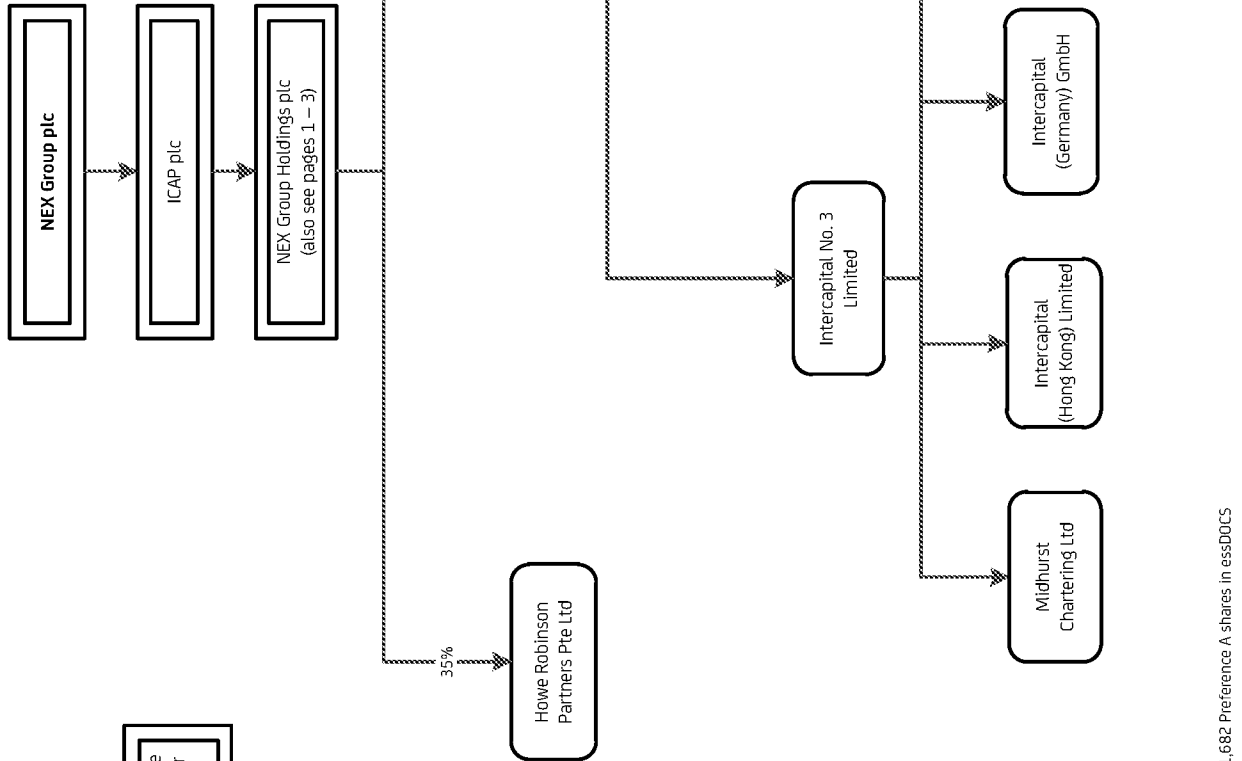
Note 8: Research Exchange Ltd has a share option pool. Fully diluted NEX Optimisation Limited's interest in Research Exchange Ltd is 26.32%.

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%.

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

All shareholdings 100% unless otherwise stated



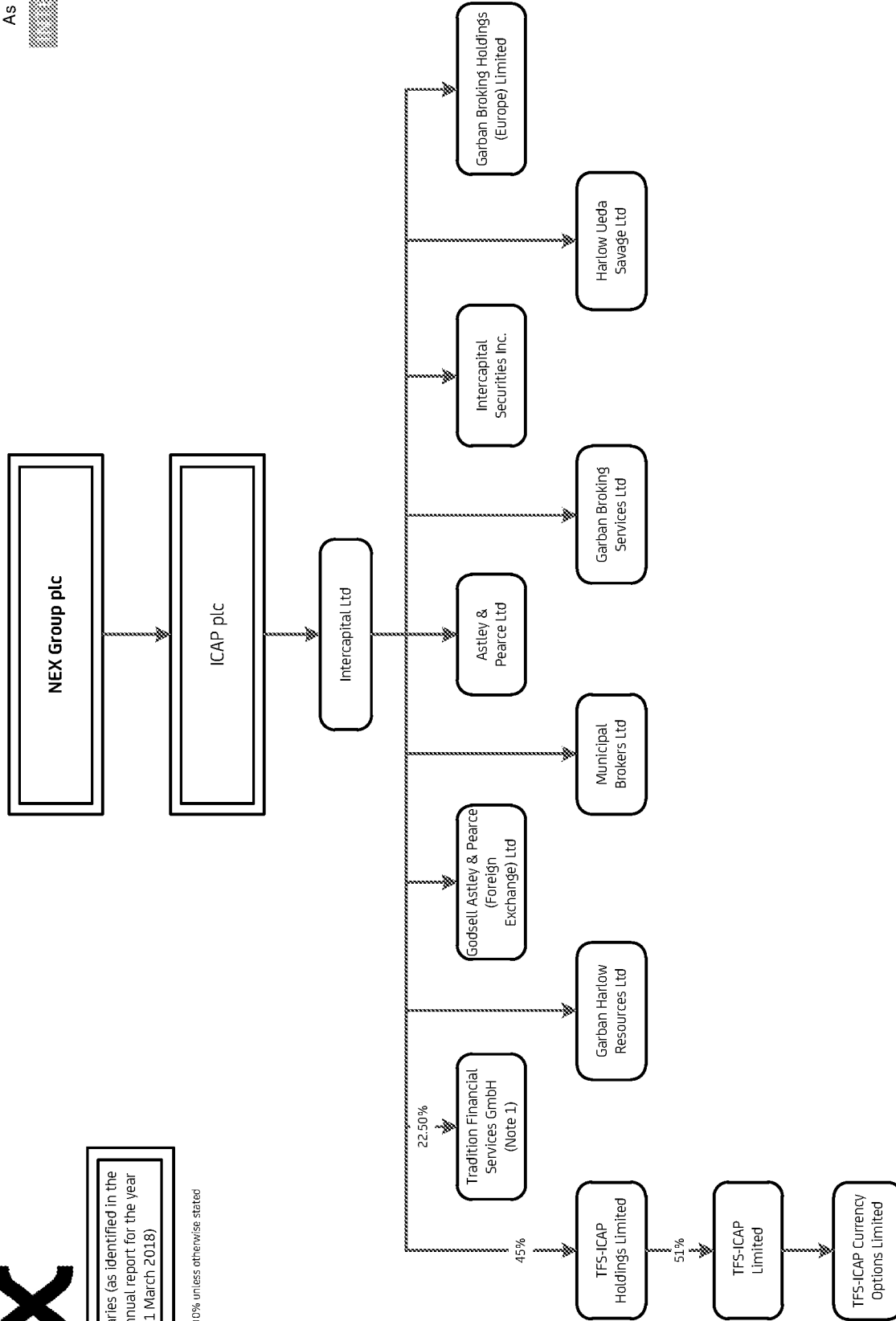
Note 1: Intercapital No. 1 Limited holds 11,682 Preference A shares in essDOCS Limited.

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



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

All shareholdings 100% unless otherwise stated



Note 1: Intercapital Limited has 33.33% nominal holding and 22.50% voting and economic interest in Tradition Financial Services GmbH.