

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT6527307

|   |   |
|---|---|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT  |
| <b>NATURE OF CONVEYANCE:</b>  | CORRECTION BY DECLARATION TO UPDATE OWNERSHIP<br>ERRONEOUSLY MADE IN A PREVIOUSLY RECORDED DOCUMENT<br>AT REEL 050304, FRAME 0060 THAT ERRONEOUSLY AFFECTS THE<br>IDENTIFIED PATENT |
| <b>CONVEYING PARTY DATA</b>   |   |
| <b>Name</b>   | <b>Execution Date</b>   |
| NEX SERVICES NORTH AMERICA LLC  | 01/29/2021  |
| <b>RECEIVING PARTY DATA</b>   |   |
| <b>Name:</b>  | NEX SERVICES NORTH AMERICA LLC  |
| <b>Street Address:</b>  | 4 TIMES SQUARE  |
| <b>Internal Address:</b>  | FLOOR 14  |
| <b>City:</b>  | NEW YORK  |
| <b>State/Country:</b>   | NEW YORK  |
| <b>Postal Code:</b>   | 10036   |
| <b>PROPERTY NUMBERS Total: 1</b>  |   |
| <b>Property Type</b>  | <b>Number</b>   |
| Application Number:   | 13098555  |
| <b>CORRESPONDENCE DATA</b>  |   |
| <b>Fax Number:</b>  |   |
| <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> |   |
| <b>Phone:</b>   | 3122910860  |
| <b>Email:</b>   | jpadalino@lsk-iplaw.com   |
| <b>Correspondent Name:</b>  | LEMPIA SUMMERFIELD KATZ LLC   |
| <b>Address Line 1:</b>  | 20 SOUTH CLARK STREET   |
| <b>Address Line 2:</b>  | SUITE 600   |
| <b>Address Line 4:</b>  | CHICAGO, ILLINOIS 60606   |
| <b>ATTORNEY DOCKET NUMBER:</b>  | 004672-08027X-US  |
| <b>NAME OF SUBMITTER:</b>   | JAMES L. KATZ   |
| <b>SIGNATURE:</b>   | /James L. Katz/   |
| <b>DATE SIGNED:</b>   | 02/01/2021  |
| <b>Total Attachments: 2</b>   |   |
| source=Declaration#page1.tif  |   |
| source=Declaration#page2.tif  |   |

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Daniel Cleaves  
Atul Bhatia

U.S. Patent No. 10,115,156  
Serial No: 13/098,555

Filed: May 2, 2011  
Granted: October 30, 2018

For: SYSTEM AND METHOD FOR  
PROVIDING WORKUP TRADING

**DECLARATION UNDER MPEP § 323.01(c)**

Dear Sir:

Per MPEP § 323.01(c), as representative of NEX Services North America LLC, owner of the above referenced patent, I hereby declare that the document recorded on September 6, 2019 at reel/frame 050304/0060 relating to a conveyance comprising an acquisition by CME GROUP INC. of NEX GROUP PLC was improperly filed and recorded against the above referenced patent.

I further declare that:

- (a) My name is James L. Katz and I am the legal representative of NEX Services North America LLC, owner of the above referenced patent;
- (b) A completed cover sheet is included herewith identifying the patent against which the conveyance was improperly recorded;
- (c) NEX Services North America LLC is the correct owner;
- (d) The conveyance recorded on September 6, 2019 at reel/frame 050304/0060 included a cover sheet with erroneous information and the recorded document did not actually convey the above referenced patent as indicated on the cover sheet recorded therewith;

(e) The required fee under 37 CFR 3.41, presently \$0, is included herewith;

(f) The true chain of title is as follows:

| Reel/<br>Frame | Conveyance                             | Execution<br>date | Date<br>recorded   | Assignor<br>names                             | Assignee<br>name                           | Assignee address  |
|----------------|--|-------------------|--------------------|---|--|---|
| 050291/0239    | ASSIGNMENT<br>OF ASSIGNORS<br>INTEREST | September 4, 2008 | September 6, 2019  | Daniel Cleaves<br>Atul Bhatia                 | ICAP Services<br>North America LLC         | 1100 Plaza Five<br>Jersey City, New Jersey<br>07311       |
| 041221/0720    | ASSIGNMENT<br>OF ASSIGNORS<br>INTEREST | December 22, 2016 | December 29, 2016  | ICAP Services<br>North America<br>LLC         | Intercapital Services<br>North America LLC | 1100 Plaza Five<br>Jersey City, New Jersey<br>07311       |
| 047099/0721    | CHANGE OF<br>NAME                      | February 21, 2017 | September 18, 2018 | Intercapital<br>Services North<br>America LLC | NEX Services North<br>America LLC          | 4 Times Square<br>Floor 14<br>New York, New York<br>10036 |

(g) The chain of title for the above referenced patent should not be considered altered by the incorrect assignment recorded on September 6, 2019 at reel/frame 050304/0060; and

(h) The last correct assignee, NEX Services North America LLC, has been, and continues to be, the owner of the patent at issue.

Respectfully submitted,

Dated: January 29, 2021

/James L. Katz/  
James L. Katz (Reg. No. 42,711)