

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT7003966

SUBMISSION TYPE:	CORRECTIVE ASSIGNMENT
NATURE OF CONVEYANCE:	Corrective Assignment to correct the ASSIGNEE'S NAME AND ADDRESS ON THE COVER SHEET previously recorded on Reel 050283 Frame 0841. Assignor(s) hereby confirms the ASSIGNMENT.
CONVEYING PARTY DATA	
Name	Execution Date
AUGUST M. HOCHENBERGER	04/04/2001
EDWARD R. HOWORKA	04/12/2001
NEENA JAIN	04/06/2001
JOHN C. GAUDIO	04/04/2001
JOHN R. CAPUANO	04/04/2001
GREGORY D. MILLS	06/03/2001
SRIVATHSAN KRISHNASAMI	04/04/2001
RECEIVING PARTY DATA	
Name:	ELECTRONIC BROKING SERVICES LIMITED
Street Address:	55-56 LINCOLNS INN FIELDS
City:	LONDON
State/Country:	ENGLAND
Postal Code:	WC2A 3LJ
PROPERTY NUMBERS Total: 1	
Property Type	Number
Patent Number:	8639607
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:	004672-00990Y-US
NAME OF SUBMITTER:	JAMES L. KATZ

SIGNATURE:	/James L. Katz/
DATE SIGNED:	11/03/2021
Total Attachments: 14 source=assignment-pat-50283-841#page1.tif source=assignment-pat-50283-841#page2.tif source=assignment-pat-50283-841#page3.tif source=assignment-pat-50283-841#page4.tif source=assignment-pat-50283-841#page5.tif source=assignment-pat-50283-841#page6.tif source=assignment-pat-50283-841#page7.tif source=assignment-pat-50283-841#page8.tif source=assignment-pat-50283-841#page9.tif source=assignment-pat-50283-841#page10.tif source=assignment-pat-50283-841#page11.tif source=assignment-pat-50283-841#page12.tif source=assignment-pat-50283-841#page13.tif source=assignment-pat-50283-841#page14.tif	

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5703767

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	AUGUST M. HOCHENBERGER	04/04/2001
	EDWARD R. HOWORKA	04/12/2001
	NEENA JAIN	04/06/2001
	JOHN C. GAUDIO	04/04/2001
	JOHN R. CAPUANO 04/04/2001	04/06/2001
	GREGORY D. MILLS	06/03/2001
	SRIVATHSAN KRISHNASAMI	04/04/2001
RECEIVING PARTY DATA		
Name:	NEX GROUP PLC <u>ELECTRONIC BROKING SERVICES LIMITED</u>	
Street Address:	2 BROADGATE <u>55-56 LINCOLNS INN FIELDS</u>	
City:	LONDON	
State/Country:	<u>UNITED KINGDOM</u> <u>ENGLAND</u>	
Postal Code:	<u>EC2M 7UR</u> <u>WC2A 3LJ</u>	
PROPERTY NUMBERS Total: 1		
Property Type	Number	
Application Number:	12891246	
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:	michelle.marsh@cmegroup.com, jpadalino@lsk-iplaw.com	
Correspondent Name:	LEMPIA SUMMERFIELD KATZ LLC	
Address Line 1:	20 S. CLARK STREET, SUITE 600	
Address Line 4:	CHICAGO, ILLINOIS 60603	
ATTORNEY DOCKET NUMBER:	004672-00990Y-US	
NAME OF SUBMITTER:	JAMES L. KATZ	
SIGNATURE:	/JAMES L. KATZ/	
DATE SIGNED:	09/05/2019	
Total Attachments: 12		


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WHEREAS, We, August M. Hochenberger, Edward R. Howorka, Neena Jain, John C. Gaudio, John R. Capuano, Gregory D. Mills and Srivathsan Krishnasami, as assignors, have invented certain improvements in CONVERSATIONAL DEALING IN AN ANONYMOUS TRADING SYSTEM for which an application for United States Letters Patent was filed as U.S. Application Serial No. 09/603,390; and

WHEREAS, Electronic Broking Services Limited, an English Limited Company, having its principal place of business at 55-56 Lincolns Inn Fields, London WC2A 3LJ, ENGLAND, 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: 4/4/01


AUGUST M. HOCHENBERGER

Date: _____

EDWARD R. HOWORKA

Date: _____

NEENA JAIN

Date: _____

JOHN C. GAUDIO

Date: _____

JOHN R. CAPUANO

Date: _____

GREGORY D. MILLS

Date: _____

SRIVATHSAN KRISHNASAMI

PATENT APPLICATION ASSIGNMENT -
SOLE OR JOINT INVENTORS

OFGS FILE NO. P/3879-5

WHEREAS, We, August M. Hochenberger, Edward R. Howorka, Neena Jain, John C. Gaudio, John R. Capuano, Gregory D. Mills and Srivathsan Krishnasami, as assignors, have invented certain improvements in CONVERSATIONAL DEALING IN AN ANONYMOUS TRADING SYSTEM for which an application for United States Letters Patent was filed as U.S. Application Serial No. 09/603,390; and

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Date: _____

AUGUST M. HOCHENBERGER

Date: April 12 2001

EDWARD R. HOWORKA

Date: _____

NEENA JAIN

Date: _____

JOHN C. GAUDIO

Date: _____

JOHN R. CAPUANO

Date: _____

GREGORY D. MILLS

Date: _____

SRIVATHSAN KRISHNASAMI

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Date: _____

AUGUST M. HOCHENBERGER

Date: _____

EDWARD R. HOWORKA

Date: 4/6/01

Neena

NEENA JAIN

Date: _____

JOHN C. GAUDIO

Date: _____

JOHN R. CAPUANO

Date: _____

GREGORY D. MILLS

Date: _____

SRIVATHSAN KRISHNASAMI

PATENT APPLICATION ASSIGNMENT -
SOLE OR JOINT INVENTORS

OFGS FILE NO. P/3879-5

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Date: _____

AUGUST M. HOCHENBERGER

Date: _____

EDWARD R. HOWORKA

Date: _____

NEENA JAIN

Date: 4/4/01



JOHN C. GAUDIO

Date: _____

JOHN R. CAPUANO

Date: _____

GREGORY D. MILLS

Date: _____

SRIVATHSAN KRISHNASAMI

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Date: _____

AUGUST M. HOCHENBERGER

Date: _____

EDWARD R. HOWORKA

Date: _____

NEENA JAIN

Date: _____

JOHN C. GAUDIO

Date: 04/04/2001



JOHN R. CAPUANO

Date: _____

GREGORY D. MILLS

Date: _____

SRIVATHSAN KRISHNASAMI

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Date: _____

AUGUST M. HOCHENBERGER

Date: _____

EDWARD R. HOWORKA

Date: _____

NEENA JAIN

Date: _____

JOHN C. GAUDIO

Date: _____

JOHN R. CAPUANO

Date: June 3, 2001



GREGORY D. MILLS

Date: _____

SRIVATHSAN KRISHNASAMI

LEGALIZATION RECOMMENDED

WHEREAS, We, August M. Hochenberger, Edward R. Howorka, Neena Jain, John C. Gaudio, John R. Capuano, Gregory D. Mills and Srivathsan Krishnasami, as assignors, have invented certain improvements in CONVERSATIONAL DEALING IN AN ANONYMOUS TRADING SYSTEM for which an application for United States Letters Patent was filed as U.S. Application Serial No. 09/603,390; and

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Date: _____

AUGUST M. HOCHENBERGER

Date: _____

EDWARD R. HOWORKA

Date: _____

NEENA JAIN

Date: _____

JOHN C. GAUDIO

Date: _____

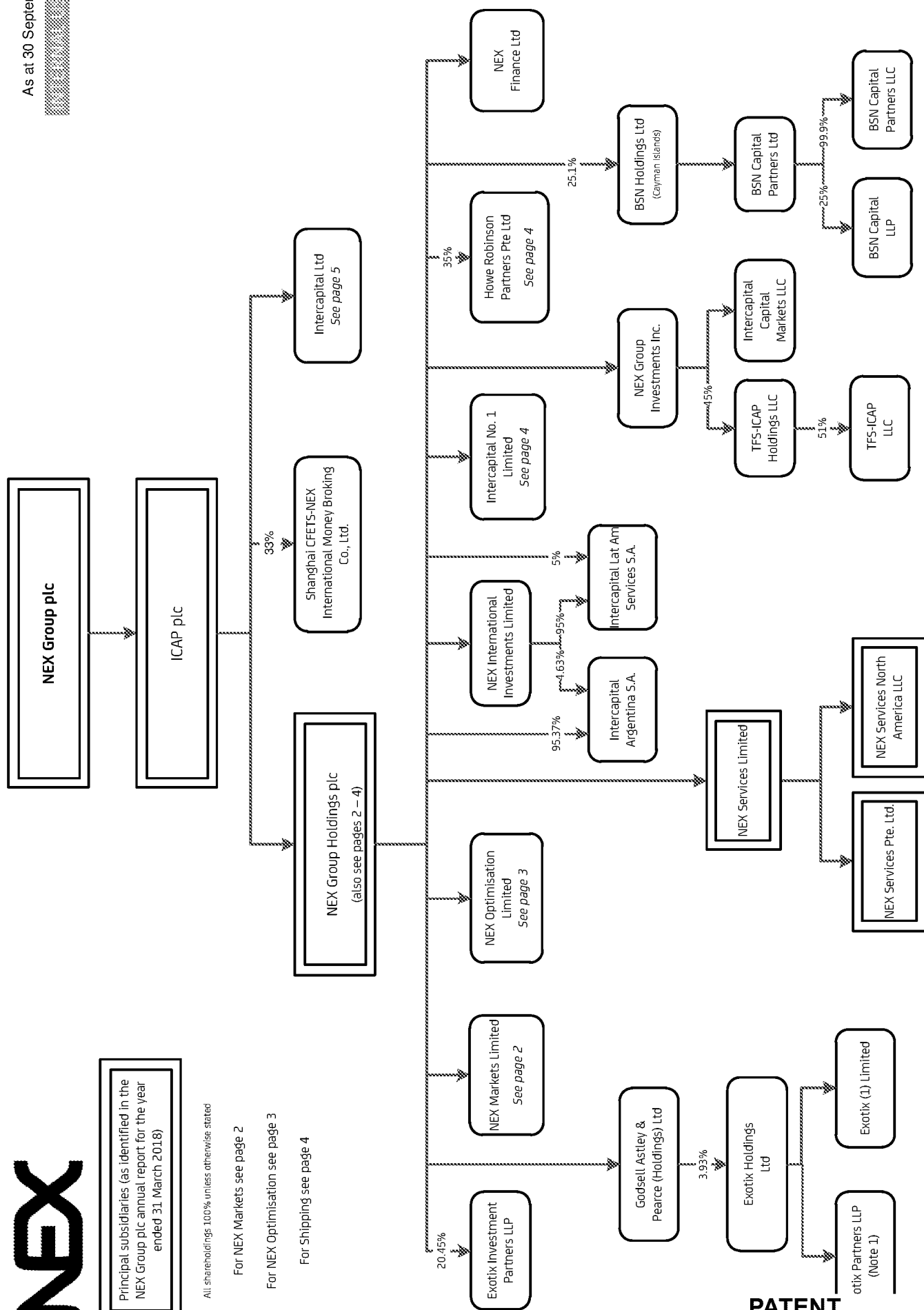
JOHN R. CAPUANO

Date: _____

GREGORY D. MILLS

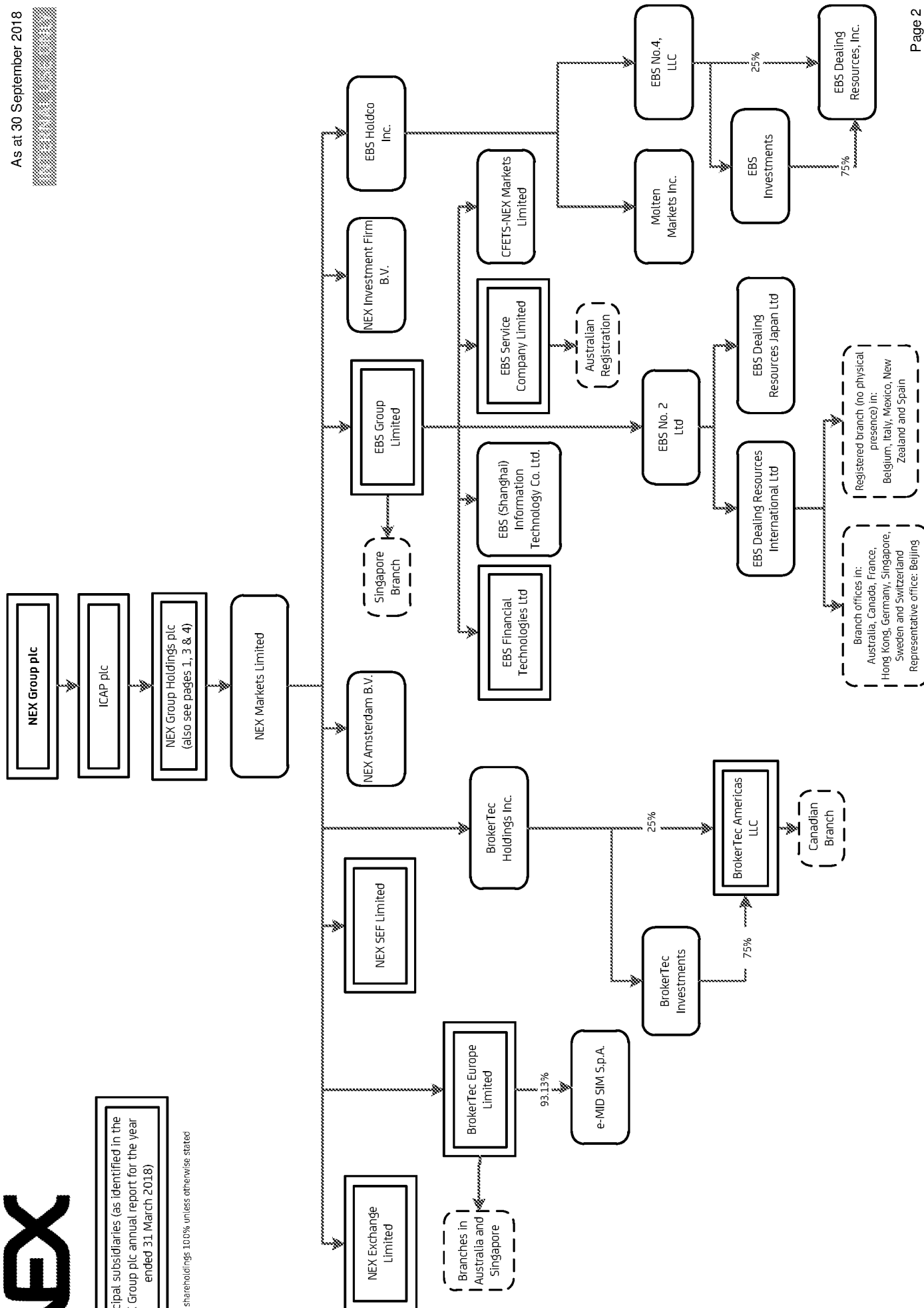
Date: April 4 2009


SRIVATHSAN KRISHNASAMI



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

All shareholdings 100% unless otherwise stated

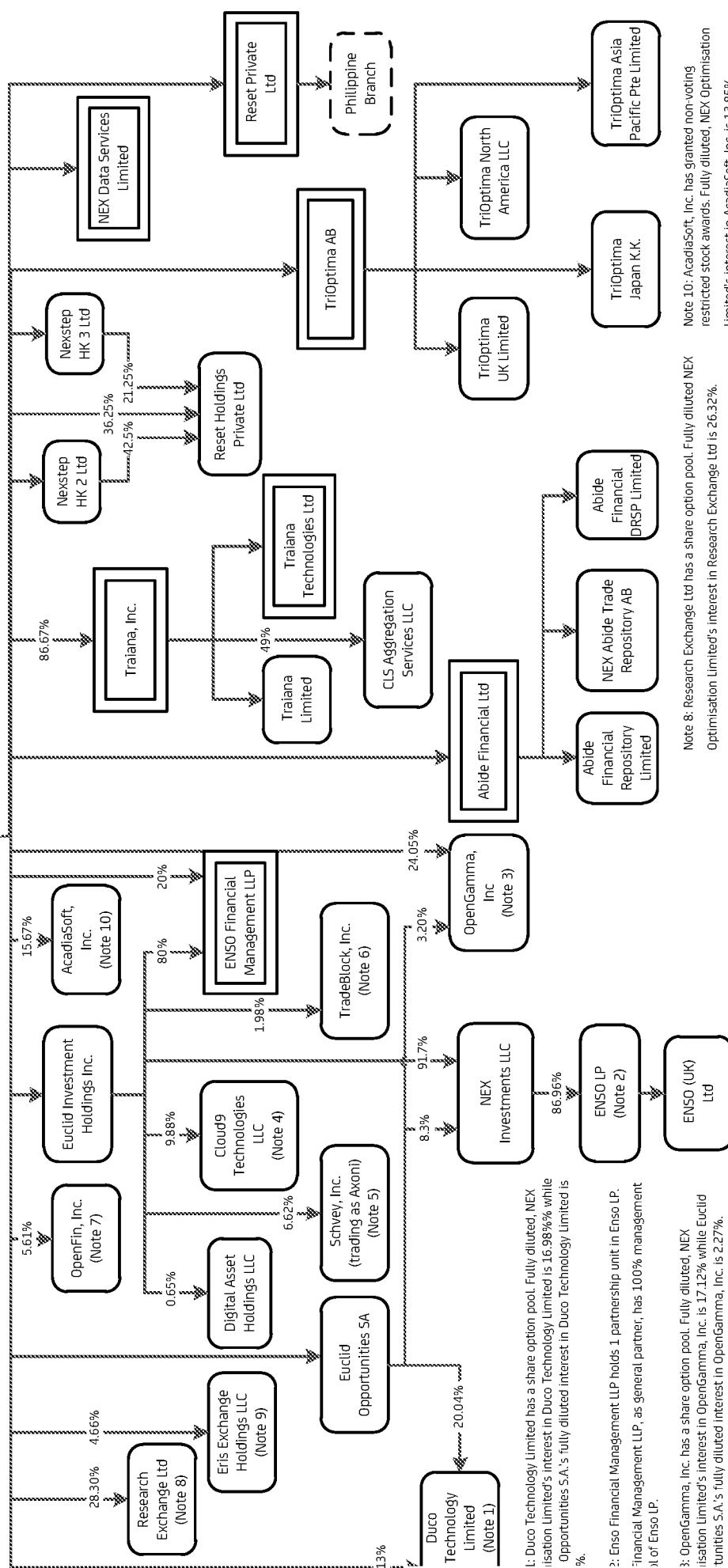
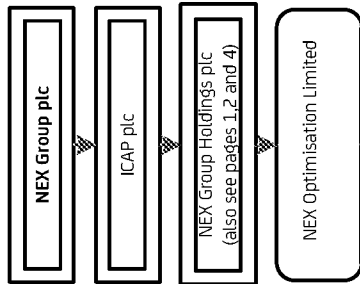




Principal subsidiaries (as identified in the NEX Group plc annual report for the year ended 31 March 2018)

All shareholdings 100% unless otherwise stated

As at 30 September 2018



1: Duco Technology Limited has a share option pool. Fully diluted, NEX Optimisation Limited's interest in Duco Technology Limited is 16.98% while Opportunities S.A.'s fully diluted interest in Duco Technology Limited is 83.01%.

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

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

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

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%.

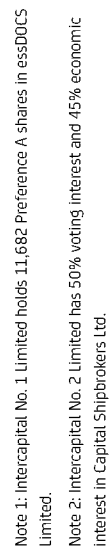
Note 8: Research Exchange Ltd has a share option pool. Fully diluted NEX Optimisation Limited's interest in Research Exchange Ltd is 26.32%.

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%.

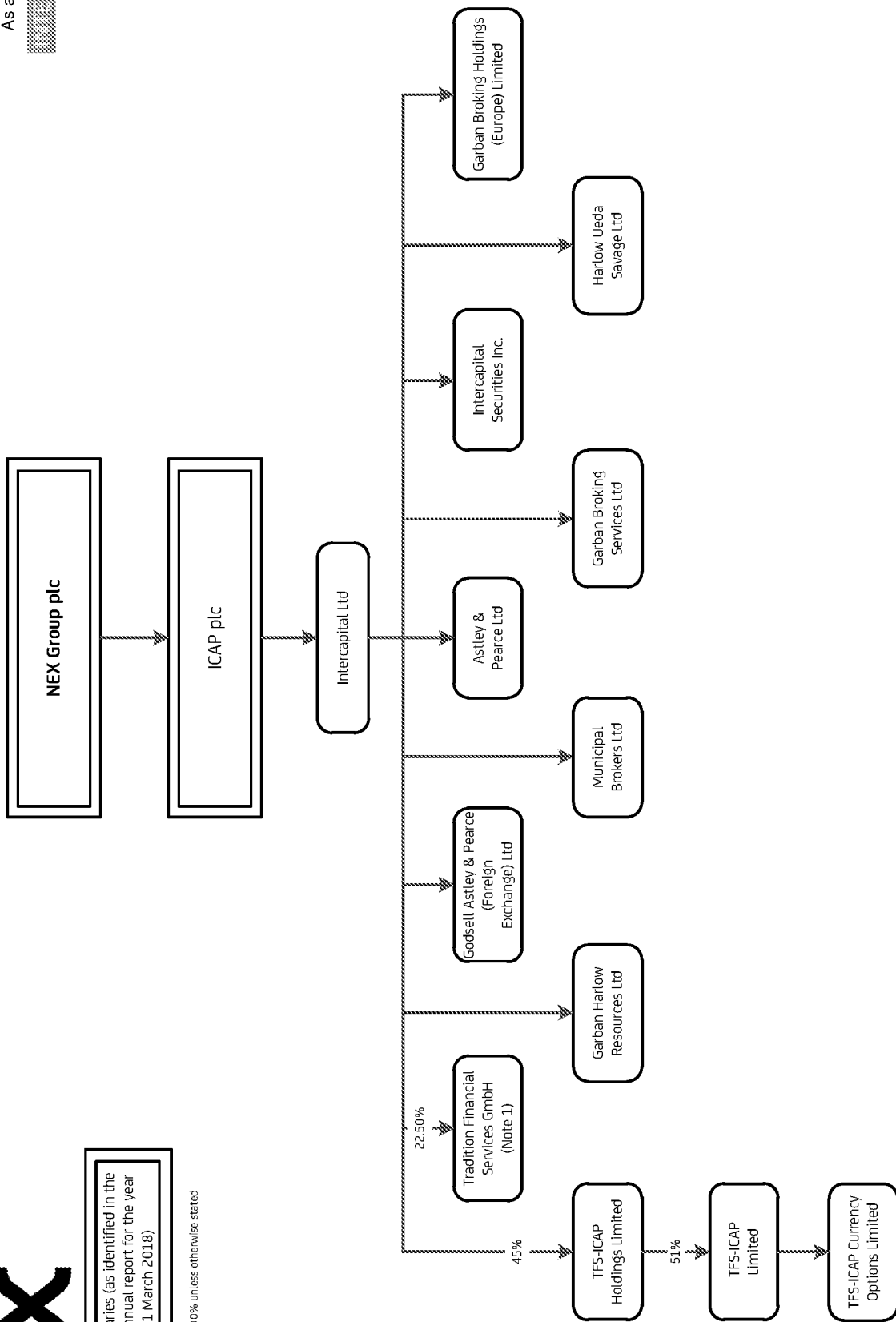
PATENT

REEL: 058790 FRAME: 0193



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.