

## PATENT ASSIGNMENT COVER SHEET

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Stylesheet Version v1.2

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<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
BRADLEY TOSHIO KATSUYAMA	09/26/2014
ROBERT PARK	09/26/2014
DANIEL AISEN	09/26/2014
DONALD BOLLERMAN	09/26/2014
FRANCIS CHUNG	09/29/2014
MATTHEW NORBERT TRUDEAU	09/26/2014
CONSTANTINE SOKOLOFF	09/26/2014
BENJAMIN AARON SMALL	09/29/2014
ADRIAN BRANKO FACINI	09/26/2014
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	IEX GROUP, INC.
<b>Street Address:</b>	3 WORLD TRADE CENTER
<b>Internal Address:</b>	58TH FLOOR
<b>City:</b>	NEW YORK
<b>State/Country:</b>	NEW YORK
<b>Postal Code:</b>	10007
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
Application Number:	16170589
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(617)523-1231
<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>	6175701000
<b>Email:</b>	us-patentbos@goodwinlaw.com, gguckaya@goodwinlaw.com, candrews@goodwinlaw.com, skerr@goodwinlaw.com
<b>Correspondent Name:</b>	GOODWIN PROCTER LLP/ PATENT ADMINISTRATOR
<b>Address Line 1:</b>	100 NORTHERN AVENUE
<b>Address Line 4:</b>	BOSTON, MASSACHUSETTS 02210
<b>ATTORNEY DOCKET NUMBER:</b>	IEX-010USC1

<b>NAME OF SUBMITTER:</b>	GOZDE GUCKAYA
<b>SIGNATURE:</b>	/Gozde Guckaya/
<b>DATE SIGNED:</b>	02/02/2022
<b>Total Attachments: 13</b> source=assignment-pat-36096-125#page1.tif source=assignment-pat-36096-125#page2.tif source=assignment-pat-36096-125#page3.tif source=assignment-pat-36096-125#page4.tif source=assignment-pat-36096-125#page5.tif source=assignment-pat-36096-125#page6.tif source=assignment-pat-36096-125#page7.tif source=assignment-pat-36096-125#page8.tif source=assignment-pat-36096-125#page9.tif source=assignment-pat-36096-125#page10.tif source=assignment-pat-36096-125#page11.tif source=assignment-pat-36096-125#page12.tif source=assignment-pat-36096-125#page13.tif	

## CONSOLIDATED ASSIGNMENT

**WHEREAS, WE, Bradley Toshio Katsuyama** (citizen of Canada), residing at 30 West 63rd Street, Apt. 4HJ, New York, NY 10023; **John Herbert Schwall** (U.S. citizen), residing at 128 Fairview Ave., Staten Island, NY 10314; **Robert Park** (citizen of Canada), residing at 300 North End Ave., Apt. PHA, New York, NY 10282; **Ronan Gerard Ryan** (U.S. citizen), residing at 13 Harding Terrace, Morristown, NJ 07960; **Daniel Aisen** (U.S. citizen), residing at 89 Murray St, Apt. 15F, New York, NY 10007; **Donald Bollerman** (U.S. citizen) residing at 23 Water Grant Street, Apt. 11B, Yonkers, NY 10701; **Francis Chung** (U.S. citizen), residing at 89 Murray St, Apt. 15F, New York, NY 10007; **Matthew Norbert Trudeau** (U.S. citizen), residing at 202 8th Street, Apt. 8A, Brooklyn, NY 11215; **Constantine Sokoloff** (U.S. citizen), residing at 77 Hudson Street, Apt. 2106, Jersey City, NJ 07302; **Benjamin Aaron Small** (U.S. citizen), residing at 101 West 24th Street, #29D, New York, NY 10011; and **Adrian Branko Facini** (U.S. citizen), residing at 50 North 1st Street, Apt. 3I, Brooklyn, NY 11249, have invented, developed, and/or have rights in one or more inventions (hereinafter “Invention”) disclosed in one or more patent applications listed below (hereinafter “Application”):

TITLE	SERIAL NO.	FILING DATE
DYNAMIC PEG ORDERS IN AN ELECTRONIC TRADING SYSTEM	62/040,493	08-22-2014
TECHNIQUES FOR FACILITATING ELECTRONIC TRADING	14/487,320	09-16-2014
TECHNIQUES FOR FACILITATING ELECTRONIC TRADING	PCT/US14/55776	09-16-2014
SYSTEM AND METHOD FOR FACILITATION CROSS ORDERS	14/488,859	09-17-2014
SYSTEM AND METHOD FOR A SEMI-LIT MARKET	14/488,886	09-17-2014

**WHEREAS, IEX Group, Inc.**, a corporation having a place of business at 7 World Trade Center, 30th Floor, New York, NY 10007 (hereinafter “Assignee”), is desirous of acquiring the entire right, title, and interest in and to the Invention and in and to the Application.

**NOW, THEREFORE**, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, we have sold, assigned, transferred and set over, and do hereby sell, assign, transfer and set over to Assignee and its successors and assigns, our entire right, title and interest, worldwide, in and to the Invention and the Application, and all patents and applications, worldwide, claiming priority to and/or benefit of, directly or indirectly, or based in whole or in part on, said Application and/or said Invention, including continuations, continuations-in-part, divisionals, reissues, reexaminations, renewals, substitutes, and extensions thereof, and any international and regional applications, based in whole or in part on any of the aforesaid applications or in whole or in part on said Invention, and all priority rights under the International Convention for the Protection of Industrial Property for every member country, and all utility-model registrations, inventor’s certificates, and the like heretofore or hereafter filed, worldwide, for the Invention, and in and to any and all patents (including all extensions, renewals, reexaminations and reissues thereof), worldwide, which have been or may be granted on any of the aforesaid applications or on said Invention or any parts thereof.

**AND WE HEREBY** covenant and agree for ourselves and our heirs, executors and administrators that we will communicate to Assignee any facts known to us respecting the Invention and the aforementioned applications, sign all lawful papers, testify in any legal proceeding, make all rightful oaths, and take any other actions that may be necessary or desirable to secure to Assignee its right, title, and interest in and to the aforementioned patents, applications and Invention, and generally do everything possible to aid Assignee to obtain and enforce proper patent protection for the Invention and the aforementioned patents and applications;

**AND WE HEREBY** agree to execute without further consideration any further documents and instruments which may be necessary, lawful and proper in the prosecution of said applications, or in the preparation or prosecution of any continuation, continuation-in-part, divisional, substitute, renewal, reexamination or reissue application or in any amendments, extensions or interference proceedings, or other applications for patents or similar rights of any region or country, that may be necessary to secure to Assignee its interest and title in and to said Invention or any parts thereof, and in and to said applications and patents;

**AND WE HEREBY** authorize and request Assignee's agent, Goodwin Procter LLP, whose address is 901 New York Avenue, NW, Washington, DC 20001, to insert hereon any identification necessary or desirable for recordation of this document, including the filing date and application number of said Application when known;

**AND WE HEREBY** covenant for ourselves and our legal representatives, and agree with said Assignee, its successors and assigns, that we have the full right to convey the entire interest herein assigned, and that we have granted no right or license to make, use, sell or offer to sell said Invention, to anyone except said Assignee, that prior to the execution of this deed, our right, title and interest in said Invention and said Application had not been otherwise encumbered, and that we have not and will not execute any instrument in conflict therewith;

**AND WE HEREBY** authorize and request the United States Commissioner of Patents and Trademarks, and any officials of foreign countries whose duty is to issue patents on applications as aforesaid, to issue any and all letters patents which may be granted upon said United States and foreign applications or upon the Invention to the Assignee;

**AND EACH OF US HEREBY** declare, with respect to each Invention or Application which I invented, developed, and/or have rights in, that:

- (a) I authorize the filing of any U.S. or foreign patent application that claims priority to and/or benefit of, directly or indirectly, or is based in whole or in part on, said each Application and/or said each Invention;
- (b) I believe that I am the original inventor or an original joint inventor of a claimed invention in said U.S. or foreign patent application; and
- (c) I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. § 1001 by fine or imprisonment of not more than five (5) years, or both.

**- SIGNATURES BEGIN ON NEXT PAGE -**

9/26/2014  
Date

*Bradley*  
**Bradley Toshio Katsuyama**

County of New York )  
State of New York ) ss:

On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Bradley Toshio Katsuyama**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

(SEAL)

**BENJAMIN BARUCH AISEN**  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

*Ben Aisen*  
Notary Public  
My Commission Expires 8/22/2015

9/26/2014  
Date

*John Herbert Schwall*  
John Herbert Schwall

County of New York )  
State of New York ) ss:


On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **John Herbert Schwall**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

(SEAL)

BENJAMIN BARUCH AISEN  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

*Ben Aisen*  
Notary Public  
My Commission Expires 9/22/2015

9/26/2014  
Date


  
\_\_\_\_\_  
Robert Park

County of New York )  
State of New York ) ss:

On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Robert Park**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

(SEAL)

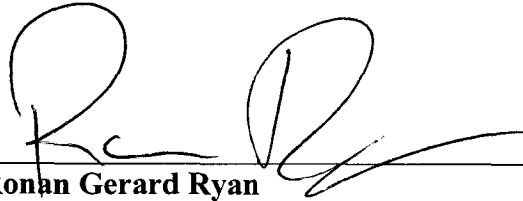
**BENJAMIN BARUCH AISEN**  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

  
\_\_\_\_\_  
Notary Public

My Commission Expires 8/22/2015

9/26/2014

Date


  
Ronan Gerard Ryan

County of New York )  
State of New York ) ss:

On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Ronan Gerard Ryan**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

BENJAMIN BARUCH AISEN  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

(SEAL)

  
Notary Public  
My Commission Expires 8/22/2015



9/26/2014  
Date

Daniel Aisen  
Daniel Aisen

County of New York )  
State of New York ) ss:

On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Daniel Aisen**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

BENJAMIN BARUCH AISEN  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

(SEAL)

Ben Aisen  
Notary Public

My Commission Expires 8/22/2015

9/26/2014  
Date

*Donald Bollerman*  
Donald Bollerman

County of New York )  
State of New York ) ss:

On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Donald Bollerman**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

(SEAL)

**BENJAMIN BARUCH AISEN**  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

*Ben Queen*  
Notary Public

My Commission Expires 8/22/2015

9/29/2014  
Date

*Francis Chung*  
Francis Chung

County of New York )  
State of New York ) ss:

On this 29<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Francis Chung**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

**BENJAMIN BARUCH AISEN**  
Notary Public, State of New York  
No. 02AI6247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

(SEAL)

*Ben Aisen*  
Notary Public

My Commission Expires 8/22/2015

01/26/2014

Date

~~Matthew Norbert Trudeau~~

County of New York )

State of New York ) ss:

On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Matthew Norbert Trudeau**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

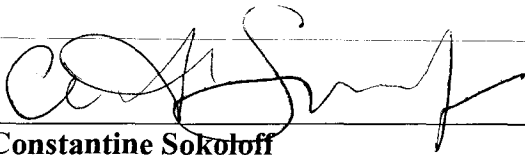
BENJAMIN BARUCH AISEN  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

(SEAL)

Ben Aisen  
Notary Public

My Commission Expires 08/22/2015

9/26/2014  
Date

  
Constantine Sokoloff

County of New York )  
State of New York ) ss:

On this 26<sup>th</sup> day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Constantine Sokoloff**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

(SEAL) BENJAMIN BARUCH AISEN  
Notary Public, State of New York  
No. 02A16247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

Ben Aisen  
Notary Public  
My Commission Expires 8/22/2015

9/29/2014

Date

Benjamin Aaron Small

County of New York )

State of New York )

ss:

On this 29th day of September, 2014, before me, a Notary Public in and for the County and State aforesaid, personally appeared **Benjamin Aaron Small**, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and acknowledged the same to be of his free act and deed.

(SEAL)

BENJAMIN BARUCH AISEN  
Notary Public, State of New York  
No. 02AI6247140  
Qualified in New York County  
Commission Expires Aug. 22, 2015

Ben Aisen

Notary Public

My Commission Expires 8/22/2015

