

TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

ETAS ID: TM415010

SUBMISSION TYPE:	NEW ASSIGNMENT		
NATURE OF CONVEYANCE:	SECURITY INTEREST		
CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
PROFESSIONAL TRADING SOLUTIONS, INC.		07/15/2015	Corporation: DELAWARE
PTS FINANCIAL TECHNOLOGY, LLC		07/15/2015	Limited Liability Company: DELAWARE
RECEIVING PARTY DATA			
Name:	WESTERN ALLIANCE BANK		
Street Address:	55 Almaden Boulevard, Suite 100		
City:	San Jose		
State/Country:	CALIFORNIA		
Postal Code:	95113		
Entity Type:	Corporation: ARIZONA		
PROPERTY NUMBERS Total: 1			
Property Type	Number	Word Mark	
Serial Number:	87178717	LIGHTSPEED TRADER	
CORRESPONDENCE DATA			
Fax Number:	6506440520		
<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:	6506483802		
Email:	patty@pattycheng.com		
Correspondent Name:	Patty Cheng		
Address Line 1:	2625 MIDDLEFIELD ROAD, SUITE 215		
Address Line 4:	Palo Alto, CALIFORNIA 94306		
NAME OF SUBMITTER:	Patty Cheng		
SIGNATURE:	/s/ Patty Cheng		
DATE SIGNED:	02/06/2017		
Total Attachments: 11			
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INTELLECTUAL PROPERTY SECURITY AGREEMENT

This INTELLECTUAL PROPERTY SECURITY AGREEMENT, dated as of July 15, 2015 (the "Agreement") is entered into by and between WESTERN ALLIANCE BANK, an Arizona corporation ("Lender") and PROFESSIONAL TRADING SOLUTIONS, INC., a Delaware corporation ("Parent") and PTS FINANCIAL TECHNOLOGY, LLC, a Delaware limited liability company (each referred to herein as a "Grantor", and collectively, as the "Grantors").

Reference is made to the Loan and Security Agreement, dated as of July 15, 2015 (as amended from time to time, the "Loan Agreement"), between Lender and Grantors. Terms used but not defined herein have the meaning given to them in the Loan Agreement. For good and valuable consideration, receipt of which is hereby acknowledged, each Grantor hereby covenants and agrees as follows:

To secure the Obligations under the Loan Agreement, each Grantor grants to Lender a security interest in all right, title, and interest of such Grantor in any of the following, whether now existing or hereafter acquired or created in any and all of the following property (collectively, the "Intellectual Property Collateral"):

(a) copyright rights, copyright applications, copyright registrations and like protections in each work of authorship and derivative work thereof, whether published or unpublished and whether or not the same also constitutes a trade secret, now or hereafter existing, created, acquired or held (collectively, the "Copyrights"), including the Copyrights described in Exhibit A;

(b) trademark and servicemark rights, whether registered or not, applications to register and registrations of the same and like protections, and the entire goodwill of the business of Borrower connected with and symbolized by such trademarks (collectively, the "Trademarks"), including the Trademarks described in Exhibit B;

(c) patents, patent applications and like protections including without limitation improvements, divisions, continuations, renewals, reissues, extensions and continuations-in-part of the same (collectively, the "Patents"), including the Patents described in Exhibit C;

(d) mask work or similar rights available for the protection of semiconductor chips or other products (collectively, the "Mask Works");

(e) trade secrets, and any and all intellectual property rights in computer software and computer software products;

(f) design rights;

(g) claims for damages by way of past, present and future infringement of any of the rights included above, with the right, but not the obligation, to sue for and collect such damages for said use or infringement of the intellectual property rights identified above;

(h) licenses or other rights to use any of the Copyrights, Patents, Trademarks, or Mask Works, and all license fees and royalties arising from such use to the extent permitted by such license or rights;

(i) amendments, renewals and extensions of any of the Copyrights, Trademarks, Patents, or Mask Works; and

(j) proceeds and products of the foregoing, including without limitation all payments under insurance or any indemnity or warranty payable in respect of any of the foregoing.

The rights and remedies of Lender with respect to the security interests granted hereunder are in addition to those set forth in the Loan Agreement, and those which are now or hereafter available to Lender as a matter of law or equity. Each right, power and remedy of Lender provided for herein or in the Loan Agreement, or now or hereafter existing at law or in equity shall be cumulative and concurrent and shall be in addition to every right, power or remedy provided for herein, and the exercise by Lender of any one or more of such rights, powers or remedies does not preclude the simultaneous or later exercise by Lender of any other rights, powers or remedies.

IN WITNESS WHEREOF, the parties have executed this Agreement as of the date first written above.

GRANTORS:
PROFESSIONAL TRADING SOLUTIONS, INC.

LENDER:
WESTERN ALLIANCE BANK

By: _____

By: _____

Name: Farid Naib

Name: _____

Title: Chief Executive Officer

Title: _____

PTS FINANCIAL TECHNOLOGY, LLC

Address for Notices:

By: _____

Attn: Note Department
55 Almaden Boulevard, Suite 100
San Jose, California 95113
Fax: (408) 282-1681

Name: Farid Naib

Title: Chief Executive Officer

Address for Notices for all Grantors:

1001 Avenue of the Americas, 16th Floor
New York, NY 10018
Attn: Marc Johnson, CFO

IN WITNESS WHEREOF, the parties have executed this Agreement as of the date first written above.

GRANTORS:

LENDER:

PROFESSIONAL TRADING SOLUTIONS, INC.

WESTERN ALLIANCE BANK

By: _____

By: Ch W

Title: _____

Name: Charles Wehr

Title: Vice President

PTS FINANCIAL TECHNOLOGY, LLC

Address for Notices:

By: _____

Attn: Note Department
55 Almaden Boulevard, Suite 100
San Jose, California 95113
Fax:(408) 282-1681

Title: _____

Address for Notices for all Grantors:

1001 Avenue of the Americas, 16th Floor
New York, NY 10018
Attn: Marc Johnson, CFO

EXHIBIT A
COPYRIGHTS

Please Check if No Copyrights Exist

	Title	Registration Number	Reg. Date	Description	Claimant	Assignment(s)
1.	Entire Executor Server	TXu 891-471	3/3/1999	Computer program	PTS Financial Technology, LLC*	From Tradescape & Company, LLC to Tradescape Technologies, LLC, V3455D816 From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613
2.	Entire Island Server	TXu 894-876	3/3/1999	Computer program	PTS Financial Technology, LLC*	From Tradescape & Company, LLC to Tradescape Technologies, LLC, V3455D816 From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613
3.	Entire Level II API Server	TXu 893-267	3/4/1999	Computer program	PTS Financial Technology, LLC*	From Tradescape Corporation f.k.a. Tradescape.com, Inc. f.k.a. Tradescape & Company, LLC to Tradescape Technologies, LLC, V3473D418 From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613
4.	Entire Quoteserver	TXu 896-803	9/3/1999	Computer program	PTS Financial Technology, LLC*	From Tradescape Corporation f.k.a Tradescape.com, Inc. to Tradescape Technologies, LLC, V3481D333 From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613

* PTS Financial Technology, LLC was formerly known as Lightspeed Technologies, LLC. PTS Financial Technology, LLC filed to record the change of name with the U.S. Copyright Office on July 14, 2015.



	Title	Registration Number	Reg. Date	Description	Claimant	Assignment(s)
5.	Entire Transaction Server	TXu 894-875	3/3/1999	Computer program	PTS Financial Technology, LLC*	From Tradescape & Company, LLC to Tradescape Technologies, LLC, V3455D816 From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613
6.	Firstlevel	TXu 890-557	3/3/1999	Computer program	PTS Financial Technology, LLC*	From Tradescape & Company, LLC to Tradescape Technologies, LLC, V3455D816 From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613
7.	QuoteServer	TXu 894-765	3/5/1999	Computer program	PTS Financial Technology, LLC*	From Tradescape & Company, LLC to Tradescape Technologies, LLC, V3455D816 From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613
8.	TradescapePro	TXu 978-678	10/31/2000	Machine-readable work	PTS Financial Technology, LLC*	From Tradescape Technologies, LLC to Lightspeed Technologies, LLC, V3586D613

* PTS Financial Technology, LLC was formerly known as Lightspeed Technologies, LLC. PTS Financial Technology, LLC filed to record the change of name with the U.S. Copyright Office on July 14, 2015.

EXHIBIT B

TRADEMARKS



Please Check if No Trademarks Exist

	Mark	U.S. Serial No.	U.S. Reg. No.	Reg. Date	Owner	Goods/Services
United States						
1.		77/495,431	3,564,244	1/20/2009	PTS Financial Technology, LLC*	“Securities brokerage services; financial and securities information services provided by electronic means,” in Class 36
2.		77/530,093	3,564,633	1/20/2009	PTS Financial Technology, LLC*	“Computer software for use in securities and financial research, trading and management,” in Class 9 “Economic research service provided by electronic means,” in Class 35 “Financial research services provided by electronic means; financial and securities information services provided by electronic means,” in Class 36
3.	GREENMOOR	78/770,083	3,596,627	3/24/2009	PTS Financial Technology, LLC*	“Financial services, namely, securities broker/dealer services,” in Class 36

* PTS Financial Technology, LLC was formerly known as Lightspeed Technologies, LLC. PTS Financial Technology, LLC filed to record the change of name with the USPTO on July 2, 2015.

	Mark	U.S. Serial No.	U.S. Reg. No.	Reg. Date	Owner	Goods/Services
4.	LIGHTSPEED	78/830,671	3,684,545	9/15/2009	Professional Trading Solutions, Inc.†	“Downloadable software for use by investors in electronic trading of stocks, futures, options, and other derivative products,” in Class 9
5.	LIGHTSPEED	78/830,673	3,624,756	5/19/2009	Professional Trading Solutions, Inc.†	“Security brokerage services; trading of stocks, futures, options, and other derivative products for others,” in Class 36
6.	LIGHTSPEED	78/830,674	3,829,692	8/3/2012	Professional Trading Solutions, Inc.†	“Providing temporary use of nondownloadable software for use by investors in electronic trading of stocks, futures, options, and other derivative products,” in Class 42
7.	NOBLETRADING	85/090,877	3,931,089	3/15/2011	Professional Trading Solutions, Inc.†	“Providing an on-line computer database in the fields of finance and investment; and providing financial portfolio management services and real time account information,” in Class 36

† Professional Trading Solutions, Inc. was formerly known as Lightspeed Financial, Inc. Professional Trading Solutions, Inc. filed to record the change of name with the USPTO on July 2, 2015.

	Mark	U.S. Serial No.	U.S. Reg. No.	Reg. Date	Owner	Goods/Services
8.		85/090,980	3,931,097	3/15/2011	Professional Trading Solutions, Inc.†	“Providing an on-line computer database in the fields of finance and investment; and providing financial portfolio management services and real time account information,” in Class 36
9.		78/207,256	3,115,909	7/18/2006	Professional Trading Solutions, Inc.†	“Service providing an on-line computer database in the fields of finance and investment; and providing financial portfolio management services and real time account information,” in Class 36
10.	TRADER TRIPLE CROWN	77/487,486	3,938,301	3/29/2011	Professional Trading Solutions, Inc.†	“Electronic trading for others of securities, stocks, futures, options, and other derivative products,” in Class 36

† Professional Trading Solutions, Inc. was formerly known as Lightspeed Financial, Inc. Professional Trading Solutions, Inc. filed to record the change of name with the USPTO on July 2, 2015.

	Mark	U.S. Serial No.	U.S. Reg. No.	Reg. Date	Owner	Goods/Services
11.	TRADIENT	77/403,484	3,551,609	12/23/2008	PTS Financial Technology, LLC*	<p>“Computer software for use in securities and financial research, trading and management,” in Class 9</p> <p>“Economic research services provided by electronic means,” in Class 35</p> <p>“Financial research services provided by electronic means; Financial and securities information services provided by electronic means,” in Class 36</p>
12.	STERLING TRADER	78-101031	2,635,488	10/15/2002	Sterling Trader, Inc. §	“Design, installation and maintenance of computer software for others for use in the trading of securities,” in Class 42
13.	STERLING TRADER	78-100777	2,697,878	3/18/2003	Sterling Trader, Inc. §	“Computer software for use in the trading of securities,” in Class 9
Canada						
14.	Sterling Trader				Sterling Trader, Inc. ¶	

* PTS Financial Technology, LLC was formerly known as Lightspeed Technologies, LLC. PTS Financial Technology, LLC filed to record the change of name with the USPTO on July 2, 2015.

§ Sterling Trader, Inc. assigned this mark to PTS Financial Technology, LLC on April 30, 2014. The assignment was filed with the USPTO on July 8, 2015.

¶ Sterling Trader, Inc. delivered an assignment of this mark to PTS Financial Technology, LLC on April 30, 2014. Subject to further updates as foreign counsel provides, the assignment is being filed with this

	Mark	U.S. Serial No.	U.S. Reg. No.	Reg./Filing Date	Owner	Goods/Services
China						
14.	STERLING TRADER 思得靈交易系統				Sterling Trader, Inc. [¶]	
15.	STERLING TRADER 思得靈交易系統				Sterling Trader, Inc. [¶]	
Hong Kong						
16.	STERLING TRADER 思得靈交易系統 思得靈交易系統				Sterling Trader, Inc. [¶]	
United States						
17.	LIGHTSPEED TRADER	87178717		9/21/2016	Professional Trading Solutions, Inc.	

EXHIBIT C

PATENTS

Please Check if No Patents Exist

<u>Name of Owner</u>	<u>Title:</u>	<u>Patent Number:</u>	<u>Application Number:</u>	<u>Issue / Publication Date:</u>
United States				
PTS Financial Technology, LLC*	METHOD AND APPARATUS FOR AUTOMATED CANCELLATION OF ORDERS FOR SECURITIES	6,532,460	09/619,223	11-Mar-2003
PTS Financial Technology, LLC*	LATENCY MONITOR	7,127,422	09/574,595	24-Oct-2006
PTS Financial Technology, LLC*	APPARATUS AND METHOD FOR LOAD BALANCING AMONG DATA COMMUNICATIONS PORTS IN AUTOMATED SECURITIES TRADING SYSTEMS	7,130,824	09/643,073	31-Oct-2006
PTS Financial Technology, LLC*	APPARATUS AND METHOD FOR ADDING LIQUIDITY TO AN ECN AND IMPROVING EXECUTIONS OF ORDERS FOR SECURITIES	7,409,366	09/643,227	05-Aug-2008
Canada				
Lightspeed Technologies, LLC ¹	LATENCY MONITOR	n/a	2,409,302	Application Pending ²

* PTS Financial Technology, LLC was formerly known as Lightspeed Technologies, LLC. PTS Financial Technology, LLC filed to record the change of name with the USPTO on July 2, 2015.

¹ PTS Financial Technology, LLC was formerly known as Lightspeed Technologies, LLC.

² If no response to an Office Action is filed, this application will be abandoned August 2015.