

## TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

ETAS ID: TM422152

|   |                                  |                       |                       |
|---|----------------------------------|-----------------------|-----------------------|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT                   |                       |                       |
| <b>NATURE OF CONVEYANCE:</b>  | SECURITY INTEREST                |                       |                       |
| <b>CONVEYING PARTY DATA</b>   |                                  |                       |                       |
| <b>Name</b>   | <b>Formerly</b>                  | <b>Execution Date</b> | <b>Entity Type</b>    |
| MARKETFACTORY, INC.   |                                  | 03/31/2017            | Corporation: DELAWARE |
| <b>RECEIVING PARTY DATA</b>   |                                  |                       |                       |
| <b>Name:</b>  | WESTERN ALLIANCE BANK            |                       |                       |
| <b>Street Address:</b>  | 55 Almaden Boulevard, Suite 100  |                       |                       |
| <b>City:</b>  | San Jose                         |                       |                       |
| <b>State/Country:</b>   | CALIFORNIA                       |                       |                       |
| <b>Postal Code:</b>   | 95113                            |                       |                       |
| <b>Entity Type:</b>   | Corporation: ARIZONA             |                       |                       |
| <b>PROPERTY NUMBERS Total: 3</b>  |                                  |                       |                       |
| <b>Property Type</b>  | <b>Number</b>                    | <b>Word Mark</b>      |                       |
| <b>Registration Number:</b>   | 4099306                          | WHISPERER             |                       |
| <b>Registration Number:</b>   | 4099305                          | MARKETFACTORY SHERPA  |                       |
| <b>Registration Number:</b>   | 4099302                          | MARKETFACTORY         |                       |
| <b>CORRESPONDENCE DATA</b>  |                                  |                       |                       |
| <b>Fax Number:</b>  | 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> |                                  |                       |                       |
| <b>Phone:</b>   | 6506483802                       |                       |                       |
| <b>Email:</b>   | patty@pattycheng.com             |                       |                       |
| <b>Correspondent Name:</b>  | Patty Cheng                      |                       |                       |
| <b>Address Line 1:</b>  | 2625 MIDDLEFIELD ROAD, SUITE 215 |                       |                       |
| <b>Address Line 4:</b>  | Palo Alto, CALIFORNIA 94306      |                       |                       |
| <b>NAME OF SUBMITTER:</b>   | Patty Cheng                      |                       |                       |
| <b>SIGNATURE:</b>   | /s/ Patty Cheng                  |                       |                       |
| <b>DATE SIGNED:</b>   | 04/03/2017                       |                       |                       |
| <b>Total Attachments: 7</b>   |                                  |                       |                       |
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## INTELLECTUAL PROPERTY SECURITY AGREEMENT

This INTELLECTUAL PROPERTY SECURITY AGREEMENT, dated as of March 31, 2017 (the "Agreement") between MARKETFACTORY, INC., a Delaware corporation ("Grantor") and WESTERN ALLIANCE BANK, an Arizona corporation ("Lender") is made with reference to the Loan and Security Agreement, dated as of March 31, 2017 (as amended from time to time, the "Loan Agreement"), between Lender and Grantor. Terms defined in the Loan Agreement have the same meaning when used in this Agreement.

For good and valuable consideration, receipt of which is hereby acknowledged, Grantor hereby covenants and agrees as follows:

To secure the Obligations under the Loan Agreement, Grantor grants to Lender a security interest in all right, title, and interest of 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"), provided that notwithstanding anything to the contrary, "Intellectual Property Collateral" shall not include any intent-to-use trademarks at all times prior to the first use thereof, whether by the actual use thereof in commerce, the recording of a statement of use with the United States Patent and Trademark Office or otherwise, but only to the extent that granting of a security interest or other lien in such trademark application as of the date of such grant would adversely affect the enforceability or validity of such trademark application:

(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 Grantor 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.

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

**GRANTOR:**

MARKETFACTORY, INC.

By:  \_\_\_\_\_

Name: James Sinclair

Title: President

Address for Notices:

425 Broadway, 3rd Floor  
New York, NY 10013  
Attn: Eugene Markman

**LENDER:**

WESTERN ALLIANCE BANK

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address for Notices:

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

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

**GRANTOR:**

MARKETFACTORY, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_


Title: \_\_\_\_\_

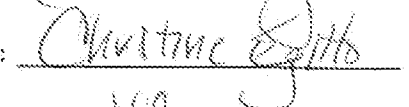
Address for Notices:


425 Broadway, 3rd Floor  
New York, NY 10013  
Attn: Eugene Markman

**LENDER:**

WESTERN ALLIANCE BANK

By:  \_\_\_\_\_

Name:  \_\_\_\_\_

Title:  VP \_\_\_\_\_

Address for Notices:

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

EXHIBIT A

COPYRIGHTS

Please Check if No Copyrights Exist

| <u>Type of Work:</u> | <u>Title:</u> | <u>International Standard Serial Number (ISSN):</u> | <u>Registration Number:</u> | <u>Filing Date:</u> | <u>Pre - registered?</u> |
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EXHIBIT B

TRADEMARKS

Please Check if No Trademarks Exist

| <u>Mark / Title:</u> | <u>U.S. Serial Number:</u> | <u>U.S. Registration Number:</u> | <u>Filing/Registration Date:</u> |
|----------------------|----------------------------|----------------------------------|----------------------------------|
| WHISPERER            | 77535425                   | 4099306                          | February 14, 2012                |
| MARKETFACTORY SHERPA | 77535421                   | 4099305                          | February 14, 2012                |
| MARKETFACTORY        | 77525355                   | 4099302                          | February 14, 2012                |
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EXHIBIT C

PATENTS

Please Check if No Patents Exist

| <u>Title:</u>  | <u>Patent Number:</u> | <u>Application Serial Number:</u> | <u>Issued or Published?</u> | <u>Issued/Filed Date:</u> |
|--|-----------------------|-----------------------------------|-----------------------------|---------------------------|
| System and method for user defined markets for electronic trading  | 9,412,133             | 14/323,936                        | Issued                      | August 9, 2016            |
| System and method for user defined markets for electronic trading  | 8,930,257             | 12/288,339                        | Issued                      | January 6, 2015           |
| Method and apparatus for enhancing market data feed using proprietary order flow   | 8,296,217             | 12/357,398                        | Issued                      | October 23, 2012          |
| Computerized apparatus for enhanced transmission of orders and market data between traders and one or more exchanges             |                       | 13/655482                         | Published                   | October 19, 2012          |
| UK Patent : Computerized apparatus for enhanced transmission of orders and market data between traders and one or more exchanges |                       | 2328846.2                         | Published                   | July 23, 2014             |
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