AO 120 (Rev. 08/10)

TO: Mail Stop 8 Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450	**REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK**

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court for the Eastern District of Texas on the following

☐ Trademarks or ☑ Patents. (☐ the patent action involves 35 U.S.C. § 292.):

DOCKET NO.	DATE FILED	U.S. DISTRICT COURT for the Eastern District of Texas
PLAINTIFF PENSON WORLDWIDE, INC.		DEFENDANT HUDSON BAY CAPITAL MANAGEMENT LP

PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 U.S. 7,542,939	6/2/2009	Penson Worldwide, Inc.
2 U.S. 8,090,644	1/3/2012	Penson Worldwide, Inc.
3 U.S. 8,156,035	4/10/2012	Penson Worldwide, Inc.
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In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY ☐ Amendment ☐ Answer ☐ Cross Bill ☐ Other Pleading	
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1		
2		
3		
4		
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In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT

ORDERED, ADJUDGED AND DECREED that all claims asserted in this suit between Plaintiff Penson Worldwide, Inc. and Hudson Bay Capital Management LP are hereby dismissed without prejudice.

CLERK	(BY) DEPUTY CLERK	DATE
David A. O'Toole	Mel Martin	12/15/2015

Copy 1—Upon initiation of action, mail this copy to Director **Copy 3—Upon termination of action, mail this copy to Director**
Copy 2—Upon filing document adding patent(s), mail this copy to Director **Copy 4—Case file copy**