AO 120 (Rev. 08/10)

| TO: Mail Stop 8<br>Director of the U.S. Patent and Trademark Office<br>P.O. Box 1450<br>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<br>PENSON WORLDWIDE, INC. | | DEFENDANT<br>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. |
| 4 | | |
| 5 | | |

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 | | |
| 5 | | |

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**