

---

**From:** Taylor, David <dtaylor@exegy.com>  
**Sent:** Tuesday, December 15, 2020 8:50 PM  
**To:** Thomas, Michael  
**Cc:** Cutler, Matthew; Franklin, Charlie; MTGroup  
**Subject:** RE: '115 IPR  
**Attachments:** Parsons - Signed documents.pdf; Whatley, J. - Signed documents.pdf; Gyang - signed documents.pdf

---

**EXTERNAL EMAIL**

---

Part 2.

---

**From:** Taylor, David  
**Sent:** Tuesday, December 15, 2020 8:49 PM  
**To:** 'Thomas, Michael'  
**Cc:** Cutler, Matthew ; Franklin, Charlie ; MTGroup  
**Subject:** RE: '115 IPR

Attached are the HR agreements for the inventors (in 2 parts due to size).

---

**From:** Thomas, Michael <mthomas@hdp.com>  
**Sent:** Friday, December 11, 2020 8:00 PM  
**To:** Taylor, David <dtaylor@exegy.com>  
**Cc:** Cutler, Matthew <mcutler@HDP.com>; Franklin, Charlie <cfranklin@hdp.com>; MTGroup <MTGroup@HDP.com>  
**Subject:** RE: '115 IPR

David,

This looks promising, as we need to establish item 2 or 3, in addition to item 1. I look forward to hearing about the employment documents.

Regards,  
Mike



**Michael J. Thomas** | Principal  
O | 314.446.7640 M  
| 314.503.9506  
**Patent, Trademark & Copyright  
Law**



*To ensure proper processing, please also send all matter-related emails to [MTGroup@hdp.com](mailto:MTGroup@hdp.com).*

---

**From:** Taylor, David <dtaylor@exegy.com>  
**Sent:** Friday, December 11, 2020 6:25 PM  
**To:** Thomas, Michael <mthomas@hdp.com>

Cc: Cutler, Matthew <[mcutler@HDP.com](mailto:mcutler@HDP.com)>; Franklin, Charlie <[cfranklin@hdp.com](mailto:cfranklin@hdp.com)>; MTGroup <[MTGroup@HDP.com](mailto:MTGroup@HDP.com)>  
Subject: RE: '115 IPR

---

EXTERNAL EMAIL

---

Mike,

Please see comments below.

David

---

From: Thomas, Michael <[mthomas@hdp.com](mailto:mthomas@hdp.com)>  
Sent: Friday, December 11, 2020 11:58 AM  
To: Taylor, David <[dtaylor@exegy.com](mailto:dtaylor@exegy.com)>  
Cc: Cutler, Matthew <[mcutler@HDP.com](mailto:mcutler@HDP.com)>; Franklin, Charlie <[cfranklin@hdp.com](mailto:cfranklin@hdp.com)>; MTGroup <[MTGroup@HDP.com](mailto:MTGroup@HDP.com)>  
Subject: '115 IPR

David,

Further to our discussion yesterday, we would like to investigate the following:

1. The '115 patent is based on a provisional application filed Dec 15, 2008. The Parsons '675 application (which matured into the '046 patent) was published about two months earlier, on Oct 2, 2008. Does Exegy have any evidence (such as documents or emails, including draft invention disclosures) demonstrating all features of challenged claims 43 and 44 (reproduced below) were mentally conceived, or reduced to practice, on or before Oct 2, 2008? **[DET] We absolutely do.**

[REDACTED]

2. The '115 patent lists six inventors: you, Parsons, Whatley, Bradley, Gyang and DeWulf. Were all six inventors obligated (by written agreement or otherwise) in 2008 to assign their patent rights in the '115 invention to Exegy?

[REDACTED]

3. Was the subject matter recited by challenged claims 43 and 44, and any related disclosure in the Parsons '675 application, mentally conceived entirely by you and Parsons (the only inventors listed on the '115 patent and the Parsons '675 application)? To prove this (if true), we will want to obtain signed declarations from all six inventors of the '115 patent.

[REDACTED]

Challenged claims 43 and 44:

43. An apparatus for applying specific computer technology to reduce latency and increase throughput with respect to streaming data enrichment, the apparatus comprising:  
a coprocessor that includes an order engine and a price engine;  
wherein the coprocessor is configured to receive streaming data representative of a plurality of limit order events pertaining to a plurality of financial instruments;

wherein the order engine is configured to (1) access a plurality of limit order records based on the streaming limit order event data, and (2) compute updated limit order data based on the accessed limit order records and the streaming limit order event data;



wherein the price engine is configured to (1) access a plurality of price point records based on the streaming limit order event data, and (2) compute updated price point data based on the accessed price point records and the streaming limit order event data;

wherein the coprocessor is further configured to enrich the streaming limit order events with financial market depth data based on the computed updated limit order data and price point data; and

wherein the order engine and the price engine are configured to perform their respective operations in parallel with each other as the limit order event data streams through the coprocessor.

44. The apparatus of claim 43 wherein the coprocessor comprises a member of the group consisting of a reconfigurable logic device, a chip-multi-processor (CMP), and a graphics processing unit (GPU), and wherein the order engine and the price engine are deployed on the member.

Thanks,  
Mike

<b>Michael J. Thomas</b> Attorney at Law, Principal	<b>Office:</b> 314.446.7640 <b>Mobile:</b> 314.503.9506 <b>Fax:</b> 314.726.7501	
	7700 Bonhomme, Suite 400 St. Louis, MO 63105	
<b>Patent, Trademark &amp; Copyright Law</b>		
<hr/>		
Metropolitan   <a href="#">Dallas</a> • <a href="#">Detroit</a> • <a href="#">St. Louis</a> • <a href="#">Washington, DC</a>		

*To ensure proper processing, please also send all matter-related emails to [MTGroup@hdp.com](mailto:MTGroup@hdp.com).*

**HARNES, DICKY & PIERCE, PLC LEGAL NOTICE:** The information contained in this transmission is intended only for the individual(s) or entity(ies) to whom it is addressed. It may contain information protected from use and/or disclosure by law, including information that is protected as confidential, attorney-client privileged, attorney work product and/or trade secrets. If the reader of this message is not the intended recipient, or an employee or agent responsible for delivering this message to the addressee, the reader is hereby notified that any use, distribution or copying of this communication is strictly prohibited. If you believe you have received this facsimile or message in error, please immediately notify us at our expense by return mail or e-mail and permanently delete or destroy all copies of the message.

To comply with U.S. Treasury regulations, we advise you that any discussion of Federal tax issues in this communication was not intended to be used, and cannot be used, by any person (i) to avoid penalties that may be imposed by the Internal Revenue Service, or (ii) to promote, market or recommend to another party any matter addressed herein. Any portions of this transmission containing controlled technical data are restricted by U.S. export laws and regulations, and may not be distributed or retransmitted to non-U.S. persons without appropriate licensing or a licensing exemption. Neither this information block, nor the signature block, nor the typed name of the sender, nor anything else in this message is intended to constitute an electronic signature unless a specific statement to the contrary is included.

---

This email has been scanned for email related threats and delivered safely by Mimecast.  
For more information please visit <http://www.mimecast.com>

---

This e-mail and any documents accompanying it may contain legally privileged and/or confidential information belonging to Exegy, Inc. Such information may be protected from disclosure by law. The information is intended for use by only the addressee. If you are not the intended recipient, you are hereby notified that any disclosure or use of the information is strictly prohibited. If you have received this e-mail in error, please immediately contact the sender by e-mail or phone regarding instructions for return or destruction and do not use or disclose the content to others.

---

This email has been scanned for email related threats and delivered safely by Mimecast.  
For more information please visit <http://www.mimecast.com>

---

This e-mail and any documents accompanying it may contain legally privileged and/or confidential information belonging to Exegy, Inc. Such information may be protected from disclosure by law. The information is intended for use by only the addressee. If you are not the intended recipient, you are hereby notified that any disclosure or use of the information is strictly prohibited. If you have received this e-mail in error, please immediately contact the sender by e-mail or phone regarding instructions for return or destruction and do not use or disclose the content to others.