

TRADEMARK ASSIGNMENT

Electronic Version v1.1
 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	Termination of Security Interest in Patents and Trademarks at Reel 3818 Frame 0148

CONVEYING PARTY DATA

Name	Formerly	Execution Date	Entity Type
Compass Horizon Funding Company LLC		08/16/2010	LIMITED LIABILITY COMPANY: DELAWARE
Horizon Technology Funding Company V LLC		08/16/2010	LIMITED LIABILITY COMPANY: DELAWARE

RECEIVING PARTY DATA

Name:	NewRiver, Inc.
Street Address:	200 Brickstone Square
Internal Address:	5th Floor
City:	Andover
State/Country:	MASSACHUSETTS
Postal Code:	01810
Entity Type:	CORPORATION: MASSACHUSETTS

PROPERTY NUMBERS Total: 9

Property Type	Number	Word Mark
Registration Number:	2572921	CONSENT EXPRESS
Registration Number:	3116594	FUNDPPOINT
Registration Number:	3135291	INTELLIGENT DELIVERY SERVICES
Registration Number:	2391007	N
Registration Number:	3006783	N NEW RIVER
Registration Number:	2996238	NEWRIVER
Registration Number:	2572922	PROSPECTUS EXPRESS
Registration Number:	2809386	WEALTHSENSE
Registration Number:	3507394	OPTIMI\$ER

CORRESPONDENCE DATA

900169701

**TRADEMARK
 REEL: 004262 FRAME: 0836**

OP \$240.00 2572921

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ATTORNEY DOCKET NUMBER:	107.734.153
NAME OF SUBMITTER:	Michael J. Bevilacqua
Signature:	/michael j. bevilacqua/
Date:	08/18/2010

Total Attachments: 5

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TERMINATION OF SECURITY INTEREST IN PATENTS AND TRADEMARKS

WHEREAS, NewRiver, Inc., a Massachusetts corporation, located at 200 Brickstone Square, 5th Floor, Andover, Massachusetts 01810 (the "Debtor"), Compass Horizon Funding Company LLC, a Delaware limited liability company and Horizon Technology Funding Company V LLC, a Delaware limited liability company, each located at 76 Batterson Park Road, Farmington, Connecticut (the "Secured Parties"), entered into a certain Venture Loan and Security Agreement (the "Security Agreement"), dated as of June 28, 2008, which was recorded in the United States Patent and Trademark Office on July 14, 2008 at Reel 021253 and Frame 0149 for patents and at Reel 3818 and Frame 0148 for trademarks, that by its terms granted the Secured Parties a security interest in certain intellectual property listed in Schedules 1-A and 1-B (the "Patents") and in Schedules 1-A and 1-B (the "Trademarks") to the Security Agreement and all trademark applications, patent applications, patents and trademark registrations acquired or arising after the date of the Agreement;

WHEREAS, the Debtor has or has caused to be paid and satisfied in full the obligations for which the security interest in the Patents and Trademarks was granted.

NOW THEREFORE the Secured Parties hereby reassign to the Debtor the interest in the Patents and Trademarks listed on Schedule A and Schedule B attached hereto in which Secured Parties were granted a security interest under the Security Agreement. The Secured Parties also hereby release its security interest in the Patents and Trademarks listed in Schedule A and Schedule B attached hereto. The Secured Parties further agree, for themselves, its successors and assign, to execute such further documents and to perform such further lawful acts as may reasonably be requested by the Debtor, to effectuate this termination.

IN WITNESS WHEREOF the parties hereto by the signature below of their duly authorized representatives agree to be bound by the provisions of this Termination as of the date of execution, this 16th day of August, 2010.

COMPASS HORIZON FUNDING COMPANY
LLC

By: *Horizon Technology Finance Management LLC,*
its adviser

Robert D. Pomeroy, Jr.

Name: *Robert D. Pomeroy, Jr.*
Title: *Chief Executive Officer*

HORIZON TECHNOLOGY FUNDING
COMPANY V LLC

By: *Horizon Technology Finance Management LLC,*
its agent

Robert D. Pomeroy, Jr.

Name: *Robert D. Pomeroy, Jr.*
Title: *Chief Executive Officer*

Schedule A

SECURITY INTEREST TERMINATION

PATENTS

<u>Patent</u>	<u>Owner</u>	<u>Patent Number</u>	<u>Issue Date</u>
Mapping Compliance Information Into Usable Format	NewRiver	6,122,635	9/19/02
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	6,782,506	8/24/04
Method and System for Electronic Delivery of Sensitive Information	NewRiver	7,028,190	4/11/06
Method and System for Electronic Delivery of Sensitive Information	NewRiver	7,363,489	4/22/08
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	10/035,966	11/09/01
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,826	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,868	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,924	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,941	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,942	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,784	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,846	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,958	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,782	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,785	5/21/07

Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,956	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,777	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,959	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,781	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,960	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,872	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,783	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,914	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,824	5/21/07
Obtaining Consent for Electronic Delivery of Compliance Information	NewRiver	11/804,920	5/21/07
Method and System for Electronic Delivery of Sensitive Information	NewRiver	11/827,247	7/11/07
System for Mapping Financial Disclosure Data into Compliance Information	NewRiver	10/135,834	4/30/02
System for Mapping Financial Disclosure Data into Compliance Information	NewRiver	12/123,045	5/19/08
Method and Apparatus for Providing Financial Transaction Data Via the Internet	NewRiver	09/785,630	02/16/01
Method for Creating and Delivering Customized Securities Information	NewRiver	10/877,904	6/25/04
Method for Creating and Delivering Customized Securities Information	NewRiver	12/011,588	1/28/08
Methods and Apparatus for Managing Information Relating to Securities	NewRiver	10/916,781	8/12/04

Methods and Apparatus for Managing Information Relating to Securities	NewRiver	10/917,239	8/12/04
System for Locating Data Elements within Originating Data Sources	NewRiver	10/821,121	04/08/04
Systems and Methods for Determining Investment Product Suitability	NewRiver	11/999/750	12/07/07
Systems and Methods for Determining Investment Product Suitability	NewRiver	12/148,983	1/28/08
Mapping Compliance Information Into Usable Format	NewRiver	90/008,993 (re-exam of Patent No. 6,122,635)	12/21/08

Schedule B

SECURITY INTEREST TERMINATION

TRADEMARKS

<u>Trademark</u>	<u>Owner</u>	<u>Registration Number</u>	<u>Registration Date</u>
CONSENT EXPRESS	NewRiver, Inc.	2572921	05/28/02
FUNDPPOINT	NewRiver, Inc.	3116594	07/18/06
INTELLIGENT DELIVERY SERVICES	NewRiver, Inc.	3135291	08/29/06
N (stylized)	NewRiver, Inc.	2391007	10/03/00
N (stylized) NEWRIVER	NewRiver, Inc.	3006783	10/18/05
NEWRIVER	NewRiver, Inc.	2996238	09/20/05
PROSPECTUS EXPRESS	NewRiver, Inc.	2572922	05/28/02
WEALTHSENSE	NewRiver, Inc.	2809386	01/27/04
OPTIMISER	NewRiver, Inc.	3507394	09/30/08