

## II. Text Search Results from Dialog

### A. Patent Files, Abstract

? show files;ds

File 347: JAPIO Dec 1976-2009/Jan(Updated 090503)

(c) 2009 JPO & JAPIO

File 350: Derwent WPIX 1963-2009/UD= 200928

(c) 2009 Thomson Reuters

File 371: French Patents 1961-2002/BOPI 200209

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Set	Items	Description
S1	5088	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	5088	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S3	993	(REAL OR ACTUAL)()TIME OR REALTIME OR CURRENT OR (NO OR "N-OT" OR WITHOUT OR WITH()OUT)()(DELAY OR WAIT??? OR PENDENCY OR LAG OR TIMELAG) OR INSTANT OR DYNAMIC OR LIVE OR ON(2W)(REQUEST OR DEMAND OR FLY)
S4	78	(MOVING OR ROLLING OR RUNNING)()(AVERAGE OR AVERAGES OR MEAN OR MEANS) OR (CHART OR CHARTS OR PRICE OR PRICES)(2N)(PATTERN OR PATTERNS) OR (AVERAGE OR MEAN OR PRICE)(2N)TIME OR TMA OR EMA OR SMA
S5	28	(STOCK? ? OR BOND? ? OR FINANCIAL OR INTERNATIONAL OR COMMODIT??? OR FUTURES OR CERTIFICATE? ? OR MONEY OR SECURIT??? OR FINANCIAL()PRODUCT? ? OR EQUIT???)()(MARKET OR MARKETS OR TRADING OR TRADER OR TRADERS OR EXCHANG?) OR NYSE OR AMEX OR NASDAQ
S6	180	S2(10N)S3
S7	1	S4(5N)S5
S8	0	S6(S)S7
S9	1	S2(S)S3(S)S4(S)S5
S10	5	S2 AND S3 AND S4 AND S5
S11	5	S9 OR S10
S12	5	IDPAT (sorted in duplicate/non-duplicate order)
S13	5	IDPAT (primary/non-duplicate records only)

**13/ AN,AZ,TI/ 1 (Item 1 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0014649941

**Trading indicator creating method for market traded financial instrument e.g. stock, involves applying mathematical algorithms to obtain scores for each evaluation volume per price bracket quantity, relative to population subsets**

**Original Titles:**

Computer Implemented Method and System of Trading Indicators Based on Price and Volume

Local Applications (No Type Date): US 2003249802 A 20030508

Priority Applications (no., kind, date): US 2003249802 A 20030508

**13/ AN,AZ,TI/ 2 (Item 2 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0012853670

**Stock investment timing management method involves determining confidence interval for security price by comparing probability distribution of historical stock security data with actual security price**

**Original Titles:**

Computerized method, process and service for stock investment timing

Local Applications (No Type Date): US 2000725112 A 20001129

Priority Applications (no., kind, date): US 2000725112 A 20001129

**13/ AN,AZ,TI/ 3 (Item 3 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0012694081

**System and method for automatically trading stocks, futures, and option according to condition using internet**

Local Applications (No Type Date): KR 200046335 A 20000810

Priority Applications (no., kind, date): KR 200046335 A 20000810

**13/ AN,AZ,TI/ 4 (Item 4 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0010840751

**Data processing system for computer implemented financial charting system, determines intra-market element processed for performing graphical display**

**as a chart with bars**

**Original Titles:**

System zum graphischen Darstellen von Aktivitäten auf dem finanziellen Markt

System for charting **financial market** activities

Systeme pour la representation graphique des activites du marche financier

Local Applications (No Type Date): EP 2000310672 A 20001201; CN

2000133198 A 20001025; KR 200077805 A 20001218; TW 2000108177 A

20000427; US 1999465336 A 19991217

Priority Applications (no., kind, date): US 1999465336 A 19991217; TW

2000108177 A 20000427

**13/ AN,AZ,TI/ 5 (Item 5 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0009567045

**Brand current price detection method for stock investment, exchange and goods transaction - involves carrying out time series classification of stored values, until extracted brand period results in current price**

**Original Titles:**

DETECTING DEVICE FOR BRAND WHOSE **CURRENT** PRICE REACHES EXTREMAL VALUE OF BRAND AND ITS USING METHOD

Device to detect stock names having the highest **current** value and its methods for use.

Local Applications (No Type Date): JP 1998319605 A 19981110; US

1999228896 A 19990111

Priority Applications (no., kind, date): JP 1997345684 A 19971110; JP

1998319605 A 19981110

**13/ 3,K/ 1 (Item 1 from file: 350)**  
DIALOG(R)File 350:Derwent WPIX  
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0014649941 - Drawing available  
WPI ACC NO: 2004-831960/200482  
XRPX Acc No: N2004-657359

**Trading indicator creating method for market traded financial instrument e.g. stock, involves applying mathematical algorithms to obtain scores for each evaluation volume per price bracket quantity, relative to population subsets**

Patent Assignee: CHURQUINA E E (CHUR-I)  
Inventor: CHURQUINA E E

**Patent Family** (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
US 20040225592	A1	20041111	US 2003249802	A	20030508	200482 B

Priority Applications (no., kind, date): US 2003249802 A 20030508

**Patent Details**

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20040225592	A1	EN	15	8		

**Alerting Abstract** ...actual price trend change direction and much sooner than other time-lagging tool such as **moving averages** . The method creates the indicators in **real - time** , thus allowing the traders to have an edge on other traders, to anticipate market movements...

**Original Publication Data by Authority**

**Argentina**

Assignee name & address:

**Original Abstracts:**

...and system for providing trading indicators for selected instruments traded in a market such as **stocks** , **currency** contracts, bonds, commodities contracts, options contracts, and futures contracts. The method and system create trading...

...and Sales data as provide by exchanges or financial data providers. The method comprise parsing **time** , **price** and volume of **individual** transactions into a collection of volume per **price** bracket per **time interval** quantities, wherein **each** quantity is an aggregate volume of transactions executed during one of a set of sequential...

...brackets. The method generate trading indicators by using mathematical algorithms to score individual volume per **price** bracket per **time**



**interval** quantities corresponding to an evaluation time interval against a population of individual volume per **price** bracket per **time interval** quantities corresponding to a set of previous time intervals. The system generates trading indicators in **real time**, without the **time lag** associated to traditional **technical analysis** indicators. The **method and** system can also generate trend indicators based on analysis of volume accumulation, and defines trading...

**Claims:**

< b> 1</b>. A computer implemented method for creating trading indicators for a **financial** instrument traded in a **market** comprising: a) having a set of sequential time intervals, and b) having a **set of price** brackets, wherein each price bracket is narrower than 1/5 of the estimated difference between...

...time interval of said set of sequential time intervals and executed at prices within one **price** bracket of said set of price brackets, and d) **selecting** an evaluation **time** interval from **said** set of sequential time intervals, and e) selecting one or more population subsets of said...

**13/ 3,K/ 2 (Item 2 from file: 350)**

DIALOG(R)File 350:Derwent WPIX  
(c) 2009 Thomson Reuters. All rts. reserv.

0012853670 - Drawing available  
WPI ACC NO: 2002-712364/200277  
XRPX Acc No: N2002-561915

**Stock investment timing management method involves determining confidence interval for security price by comparing probability distribution of historical stock security data with actual security price**

Patent Assignee: NARUMO T J (NARU-I)

Inventor: NARUMO T J

**Patent Family** (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
US 20020099636	A1	20020725	US 2000725112	A	20001129	200277 B

Priority Applications (no., kind, date): US 2000725112 A 20001129

**Patent Details**

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20020099636	A1	EN	14	6		

**Alerting Abstract** ...USE - For aiding stock investors in making decisions to buy, sell or hold securities of **stock market**, through internet.

...comparison of probability distribution of historical data with actual price data. Hence facilitates investors to **determine** a good **time** for

investing his stocks

## Original Publication Data by Authority

### Argentina

Assignee name & address:

#### Original Abstracts:

...investment timing. The process gathers price and volume data of listed firms from as many **stock markets** as implemented, **only condition** being that those markets price data are available over the Internet, in order to be...

...process. Analysing and calculation methods used within the process differ from those used in typical **technical stock analyses** in that the **invention** takes advantage of the known price history and uses statistical mathematics to categorize the **current** price to a **recommended** action: 'sell', 'buy' or 'hold', while the most famous technical analysing methods typically try to...

#### Claims:

#### 13/ 3,K/ 4 (Item 4 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2009 Thomson Reuters. All rts. reserv.

0010840751 - Drawing available

WPI ACC NO: 2001-458912/200150

XRPX Acc No: N2001-340235

**Data processing system for computer implemented financial charting system, determines intra-market element processed for performing graphical display as a chart with bars**

Patent Assignee: GOHEDGE ASSET MANAGEMENT LTD (GOHE-N); PROSTICKS.COM LTD (PROS-N); QIANKUNZHU CO LTD (QIAN-N)

Inventor: CHONG K F R; LI V C P; CHONG R

**Patent Family** (5 patents, 30 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
EP 1109122	A2	20010620	EP 2000310672	A	20001201	200150 B
CN 1308301	A	20010815	CN 2000133198	A	20001025	200174 E
KR 2001067403	A	20010712	KR 200077805	A	20001218	200202 E
TW 494329	A	20020711	TW 2000108177	A	20000427	200332 NCE
US 7043449	B1	20060509	US 1999465336	A	19991217	200632 E

Priority Applications (no., kind, date): US 1999465336 A 19991217; TW 2000108177 A 20000427

#### Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
EP 1109122	A2	EN	31	19		

Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR  
IE IT LI LT LU LV MC MK NL PT RO SE SI TR  
TW 494329 A ZH

**Original Titles:**

...System for charting **financial market** activities...  
...Method for charting **financial market** activities

**Alerting Abstract** ...USE - Data processing system for computer implemented financial charting system for charting movements of **financial market** traded instruments, used by traders and analysts for predicting future price movements...

...relationships with usual OHLC. Enables to form new trading insights easily and to develop new **technical analysis** theories. Provides a new chart which resembles existing chart, so that traders who are used...

**Original Publication Data by Authority**

**Argentina**

Assignee name & address:

**Original Abstracts:**

A system for augmenting a conventional **price** -time chart used for **technical analysis** of securities **price movements** . A data processing system is provided to analyse the price activities of an instrument or commodity traded in a **market** . The system includes means for analysing trading activity and for calculating, for discrete pre-determined time intervals, data representing a respective high **price** and low price traded by the market during the associated time interval. There is also...

...intra market element being a price range with substantially high trading activities during the associated **time** interval, a **price range** with substantially **low** trading activities during the associated time interval, or a **price** interval with the highest trading activities. There are also provided means for processing the data...

...A method and apparatus for augmenting the conventional **price - time** chart used for **technical analysis** of securities **price movements** . In a preferred **embodiment** , **the** method takes a conventional Bar Chart or Japanese Candlestick Chart with a definite timeframe and...

...it statistically quantifies the volume and time distribution throughout the range of the bar into **discrete** elements, using **price** and volume data within the bar interval from a sub-timeframe. The discrete elements are...

...possible. The apparatus is an application software which implements the method by displaying the conventional **price - time** chart, calculating the

relevant elements and overlaying **the values** on the chart bars, either in a static or **real - time** market setting.

**Claims:**

...intra-market element being a price range with substantially high trading activities during the associated **time** interval, **a price** range **with** substantially low trading activities during the associated time interval, **or a price** interval with the highest trading activities, and in that means are provided for processing the...

...the price activities of a financial instrument traded in a financial instrument traded in a **financial market** in a given timeframe, comprising the steps of: (a) **plotting a** plurality of bars on a **price - time** chart by a processor wherein said **price - time** chart is a **two dimensional** chart, with the Y-coordinate representing **price and** X-coordinate representing time, with the X-axis divided into a predetermined plurality of discrete...

...amount of time equal to that of the given timeframe, each bar indicates at least **a high price** and a low price traded by the market during the associated **time interval** of the bar and each bar is vertically displayed on said chart;(b) employing with...

...from said frequency distribution, a modal point defined by the highest trading activities for a **price** in the **time** interval, and an extreme tail defined by a continuous price range containing substantially **low** trading activities **determined** by a second statistical range beyond said first range;(d) representing on a computer display...

...geometric figure onto said bar; and(e) displaying on a computer display device the overlaid **price - time** chart to the user.

B. Patent Files, Full-Text

? show files;ds

File 349:PCT FULLTEXT 1979-2009/UB= 20090507|UT= 20090430

(c) 2009 WIPO/Thomson

Set	Items	Description
S1	30312	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR - ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	30312	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR - ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S3	23754	(REAL OR ACTUAL)()TIME OR REALTIME OR CURRENT OR (NO OR "N-OT" OR WITHOUT OR WITH()OUT)()(DELAY OR WAIT??? OR PENDENCY OR LAG OR TIMELAG) OR INSTANT OR DYNAMIC OR LIVE OR ON(2W)(REQU-EST OR DEMAND OR FLY)
S4	4077	(MOVING OR ROLLING OR RUNNING)()(AVERAGE OR AVERAGES OR ME-AN OR MEANS) OR (CHART OR CHARTS OR PRICE OR PRICES)(2N)(PATT-ERN OR PATTERNS) OR (AVERAGE OR MEAN OR PRICE)(2N)TIME OR TMA OR EMA OR SMA
S5	505	(STOCK? ? OR BOND? ? OR FINANCIAL OR INTERNATIONAL OR COMM-ODIT??? OR FUTURES OR CERTIFICATE? ? OR MONEY OR SECURIT??? OR FINANCIAL()PRODUCT? ? OR EQUIT???)()(MARKET OR MARKETS OR TR-ADING OR TRADER OR TRADERS OR EXCHANG?) OR NYSE OR AMEX OR NA-SDAQ
S6	557	S2(10N)S3
S7	11	S4(5N)S5
S8	0	S6(S)S7
S9	7	S2(S)S3(S)S4(S)S5
S10	196	S2(F)S3(F)S4(F)S5
S11	14	S6(S)S10
S12	10	S7(S)S10
S13	29	S9 OR S11 OR S12
S14	27	S13 AND IC= (G06F OR G06Q)
S15	27	IDPAT (sorted in duplicate/non-duplicate order)
S16	27	IDPAT (primary/non-duplicate records only)

**16/ AN,AZ,TI / 1**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01796361

**DATABASE SYSTEM AND METHOD FOR TRACKING GOODS  
SYSTEME DE BASE DE DONNEES ET PROCEDE POUR LE SUIVI DE BIENS**

Application: WO 2008US76194 20080912 (PCT/WO US2008076194)

**16/ AN,AZ,TI / 2**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01695991

**ANALYTIC PLATFORM  
PLATEFORME ANALYTIQUE**

Application: WO 2008US52187 20080128 (PCT/WO US2008052187)

**16/ AN,AZ,TI / 3**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01636067

**CHART BASED REAL TIME INVESTMENT MONITORING, ANALYZING, AND  
TRADING SYSTEM**

**SYSTEME DE SURVEILLANCE, D'ANALYSE, ET DE NEGOCIATION  
D'INVESTISSEMENTS EN TEMPS REEL A BASE DE CHARTES**

Application: WO 2006US35570 20060912 (PCT/WO US2006035570)

**16/ AN,AZ,TI / 4**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01580082

**RICH GRAPHICAL CONTROL INTERFACE FOR ALGORITHMIC TRADING ENGINE  
INTERFACE DE COMMANDE GRAPHIQUE RICHE POUR MOTEUR D'ECHANGE  
ALGORITHMIQUE**

Application: WO 2007US67528 20070426 (PCT/WO US2007067528)

**16/ AN,AZ,TI / 5**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01482280

**ENERGY AND CHEMICAL SPECIES UTILITY MANAGEMENT SYSTEM  
SYSTEME DE GESTION DE SERVICES, D'ESPECES CHIMIQUES ET D'ENERGIE**

Application: WO 2006US34565 20060905 (PCT/WO US2006034565)

**16/ AN,AZ,TI / 6**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01444822

**THRESHOLD TRADING METHOD  
PROCEDE DE COMMERCE PAR SEUIL**

Application: WO 2006US19473 20060519 (PCT/WO US2006019473)

**16/ AN,AZ,TI / 7**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01359708

**MARKET MOTION DETECTOR  
DETECTEUR DE MOUVEMENT DU MARCHÉ**

Application: WO 2005US35823 20051006 (PCT/WO US2005035823)

**16/ AN,AZ,TI / 8**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01350108

**PATTERN MATCHER  
DISPOSITIF DE MISE EN CORRESPONDANCE DE CONFIGURATIONS**

Application: WO 2005US32891 20050914 (PCT/WO US2005032891)

**16/ AN,AZ,TI / 9**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01297469

**APPARATUS, METHOD AND SYSTEM FOR A DESIGNING AND TRADING  
MACROECONOMIC INVESTMENT VIEWS  
APPAREIL, PROCEDE ET SYSTEME POUR LA CONCEPTION ET LE COMMERCE DE  
VUES D'INVESTISSEMENTS MACRO-ECONOMIQUES**

Application: WO 2005US12991 20050415 (PCT/WO US2005012991)

**16/ AN,AZ,TI / 10**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01246073

**MULTI-PLATFORM CAPABLE INFERENCE ENGINE AND UNIVERSAL GRAMMAR  
LANGUAGE ADAPTER FOR INTELLIGENT VOICE APPLICATION EXECUTION  
MOTEUR D'INFERENCE A CAPACITE MULTI-PLATEFORME ET ADAPTATEUR DE  
LANGAGE DE GRAMMAIRE UNIVERSELLE POUR L'EXECUTION D'APPLICATION  
VOCALE INTELLIGENTE**

Application: WO 2004US34271 20041015 (PCT/WO US2004034271)

**16/ AN,AZ,TI / 11**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01213391

**ENHANCED PARI MUTUEL WAGERING  
PARI DU TYPE PARI MUTUEL AMELIORE**

Application: WO 2004US25434 20040806 (PCT/WO US2004025434)

**16/ AN,AZ,TI/ 12**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01064881

**MARKETING OPTIMIZATION SYSTEM  
SYSTEME D'OPTIMISATION DU MARKETING**

Application: WO 2003US13394 20030430 (PCT/WO US03013394)

**16/ AN,AZ,TI/ 13**

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00994559

**DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND  
TRADING EXCHANGE THEREFOR  
OPTIONS NUMERIQUES A RETOURS AJUSTABLES BASEES SUR LA DEMANDE ET  
BOURSE D'ECHANGES COMMERCIAUX AFFERENTE**

Application: WO 2002US30309 20020909 (PCT/WO US02030309)

**16/ AN,AZ,TI/ 14**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00970400

**SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR RISK-  
MINIMIZATION AND MUTUAL INSURANCE RELATIONS IN METEOROLOGY  
DEPENDENT ACTIVITIES  
SYSTEME, PROCEDE ET PROGICIEL DE LIMITATION DES RISQUES ET DE  
RELATIONS D'ASSURANCE MUTUELLE DANS DES ACTIVITES DEPENDANTES DE  
LA METEOROLOGIE**

Application: WO 2002IB1014 20020326 (PCT/WO IB0201014)

**16/ AN,AZ,TI/ 15**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00934943

**ELECTRONIC BARTERING SYSTEM WITH FACILITATING TOOLS  
SYSTEME DE TROC ELECTRONIQUE A L'AI DE D'OUTILS FACILITANT LEDIT TROC**

Application: WO 2002US6129 20020226 (PCT/WO US0206129)



**16/ AN,AZ,TI / 16**

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00886074

**VALUE YOUR HOME**

**ESTIMEZ VOTRE MAISON**

Application: WO 2001US26935 20010828 (PCT/WO US0126935)

**16/ AN,AZ,TI / 17**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00877767

**SYSTEM AND METHOD FOR PRODUCT PRICE TRACKING AND ANALYSIS**

**SYSTEME ET PROCEDE DE PISTAGE ET D'ANALYSE DE PRIX DE PRODUITS**

Application: WO 2001US23375 20010725 (PCT/WO US0123375)

**16/ AN,AZ,TI / 18**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00860460

**MOLECULAR DATABASE FOR ANTI BODY CHARACTERIZATION**

**BASE DE DONNEES MOLECULAIRE POUR LA CARACTERISATION D'ANTI CORPS**

Application: WO 2001US9908 20010328 (PCT/WO US0109908)

**16/ AN,AZ,TI / 19**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00839924

**PRICE CHARTING SYSTEM AND TECHNIQUE**

**SYSTEME ET TECHNIQUE D'ELABORATION DE GRAPHIQUES DE COURS**

Application: WO 2001US9211 20010323 (PCT/WO US0109211)

**16/ AN,AZ,TI / 20**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00828037

**SYSTEM AND METHOD FOR CREATING, DISTRIBUTING AND MANAGING**

**ARTIFICIAL AGENTS**

**SYSTEME ET METHODE PERMETTANT DE CREER, DE DISTRIBUER ET DE GERER**

**DES AGENTS ARTIFICIELS**

Application: WO 2001IB197 20010215 (PCT/WO IB0100197)

**16/ AN,AZ,TI / 21**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00784139

**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A SELF-DESCRIBING  
STREAM IN A COMMUNICATION SERVICES PATTERNS ENVIRONMENT  
SYSTEME, PROCEDE ET ARTICLE DE FABRICATION DESTINES A UN FLUX  
D'AUTODESCRIPTEURS DANS UN ENVIRONNEMENT DE MODELES DE  
SERVICES DE COMMUNICATION**

Application: WO 2000US23999 20000831 (PCT/WO US0023999)

**16/ AN,AZ,TI / 22**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00784137

**SYSTEM, METHOD, AND ARTICLE OF MANUFACTURE FOR DISTRIBUTED  
GARBAGE COLLECTION IN ENVIRONMENT SERVICES PATTERNS  
SYSTEME, PROCEDE ET ARTICLE DE FABRICATION EN MATIERE DE  
RECUPERATION D'ESPACE REPARTI DANS DES MOTIFS DE SERVICES  
D'ENVIRONNEMENT**

Application: WO 2000US24238 20000831 (PCT/WO US0024238)

**16/ AN,AZ,TI / 23**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00784119

**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A REFRESHABLE  
PROXY POOL IN A COMMUNICATION ENVIRONMENT  
SYSTEME, PROCEDE ET ARTICLE POUR GROUPE D'ELEMENTS MANDATAIRES  
(PROXY) RAFRAICHISSABLES DANS UN ENVIRONNEMENT A CONFIGURATIONS  
DE SERVICES DE COMMUNICATION**

Application: WO 2000US24113 20000831 (PCT/WO US0024113)

**16/ AN,AZ,TI / 24**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00781912

**SECURITY AND MARKET MAKER ANALYSIS SYSTEM  
SYSTEME D'ANALYSE DE TITRES POUR TENEURS DE MARCHES**

Application: WO 2000US23152 20000823 (PCT/WO US0023152)

**16/ AN,AZ,TI / 25**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00737987

**GLOBALLY TIME-SYNCHRONIZED SYSTEMS, DEVICES AND METHODS  
SYSTEMES GLOBALEMENT SYNCHRONISES DANS LE TEMPS**

Application: WO 2000US5093 20000228 (PCT/WO US0005093)

Parent Application/Grant:

Related by Continuation to: US Not furnished (CIP)

**16/ AN,AZ,TI / 26**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00579179

**ALLOCATION SYSTEMS  
SYSTEMES D'ATTRIBUTION**

Application: WO 2000US634 20000111 (PCT/WO US0000634)

**16/ AN,AZ,TI / 27**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00569839

**A MULTI-FACTOR STOCK SELECTION SYSTEM AND THE METHOD THEREFOR  
UN SYSTEME DE SELECTION D'ACTION MULTI FACTORIEL ET PROCEDE ASSOCIE**

Application: WO 98CN283 19981201 (PCT/WO CN9800283)

16/ 3,K/ 2

DIALOG(R) File 349:PCT FULLTEXT  
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01695991 \*\*Image available\*\*

**ANALYTIC PLATFORM  
PLATEFORME ANALYTIQUE**

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Patent Applicant/Inventor:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200892147 A9 20080731 (WO 0892147)

Application: WO 2008US52187 20080128 (PCT/WO US2008052187)

Priority Application: US 2007886798 20070126; US 2007886801 20070126; US  
2007887573 20070131; US 2007891508 20070224; US 2007891936 20070227; US  
2007952898 20070731

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE  
DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE

KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ  
NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM  
TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC  
MT NL NO PL PT RO SE SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English  
Filing Language: English  
Fulltext Word Count: 182219

International Patent Class (v8 + Attributes)  
IPC + Level Value Position Status Version Action Source Office:  
**G06F-0017/ 30 ...**

Fulltext Availability:  
Detailed Description  
Claims

#### Detailed Description

... with any third party to be shared into the platform 100 framework. In  
embodiments, the **security** 152 and granting matrix 154 facilities of the  
MDMH may be the same or similar...projection fact table). The projected  
facts table (projectedf act) contains projected facts stored keyed by  
**time** , item, and venue group. The projected facts table may contain  
projected sales (projectedf act. pro...

...venue  
dim  
key , item  
dim. attrl  
key, sum (projectedfact .projectedsales) FROM projectedf act, item  
dim, **time**  
dim WHERE ( // 13 weeks of data (time  
dim.qtr  
key = 1124 8 ) // break out the...are met by their favorite brand within  
a category, or some other type of CRM **analysis** .  
[00488] Scorecarding loyalty analytic solutions may include product key  
performance indicators (KPI) addressing what are...

**16/ 3,K/ 3**

DIALOG(R)File 349:PCT FULLTEXT  
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01636067

**CHART BASED REAL TIME INVESTMENT MONITORING, ANALYZING, AND  
TRADING SYSTEM**

**SYSTEME DE SURVEILLANCE, D'ANALYSE, ET DE NEGOCIATION  
D'INVESTISSEMENTS EN TEMPS REEL A BASE DE CHARTES**

Patent Applicant/Inventor:

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Legal Representative:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200833129 A1 20080320 (WO 0833129)

Application: WO 2006US35570 20060912 (PCT/WO US2006035570)

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HN HR HU ID IL IN IS JP KE KG KM KN KP  
KR KZ LA LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MY MZ NA NG NI NO  
NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ  
UA UG US UZ VC VN ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 9465

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/00 ...**

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... and analyze many investments at the same time and quickly make sound  
investment decisions in **real - time** .

[008] Investors using **technical analysis** to make investment decisions  
usually read two kinds of charts. One is the daily investment...

**16/ 3,K/ 4**

DIALOG(R)File 349:PCT FULLTEXT

(c) 2009 WIPO/Thomson. All rts. reserv.

01580082 \*\* Image available\*\*

**RI CH GRAPHI CAL CONTROL I NTERFACE FOR ALGORI THMI C TRADI NG ENGI NE**

**INTERFACE DE COMMANDE GRAPHIQUE RICHE POUR MOTEUR D'ECHANGE ALGORITHMIQUE**

**Patent Applicant/Assignee:**

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**Patent and Priority Information (Country, Number, Date):**

Patent: WO 2007127857 A2-A3 20071108 (WO 07127857)

Application: WO 2007US67528 20070426 (PCT/WO US2007067528)

Priority Application: US 2006795646 20060428; US 2007783251 20070406; US 2007783254 20070406; US 2007783250 20070406; US 2007783253 20070406; US 2007783252 20070406

**Designated States:**

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC MT NL PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 26432

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/00 ...**

**G06F-0003/00 ...**

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... the tactics employed by its algorithms, in one embodiment the subject system first determines the **current** value of a technical price momentum indicator using **technical analysis** algorithms well known to those skilled in the art. It then looks up in a...

...database the historical average participation rate achieved when the momentum was within 5% of the **current** value.

**16/ 3,K/ 6**

DIALOG(R)File 349:PCT FULLTEXT  
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01444822 \*\*Image available\*\*

**THRESHOLD TRADING METHOD  
PROCEDE DE COMMERCE PAR SEUI L**

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Patent Applicant/Inventor:

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LUCAS Shawn Thomas, 175 North Main, Pleasant Grove, UT 84062, US, US (Residence), US (Nationality),

VANDER WERFF Fred Dowie Jr, 279 South 230 East, Oren, UT 84058, US, US (Residence), US (Nationality),

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Patent and Priority Information (Country, Number, Date):

Patent: WO 2006127469 A2-A3 20061130 (WO 06127469)

Application: WO 2006US19473 20060519 (PCT/WO US2006019473)

Priority Application: US 2005134151 20050520

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW



(EA) AM AZ BY KG KZ MD RU TJ TM  
Publication Language: English  
Filing Language: English  
Fulltext Word Count: 6074

International Patent Class (v8 + Attributes)  
IPC + Level Value Position Status Version Action Source Office:

**G06Q-0030/00** ...  
...US

**G06Q-0040/00** ...

Fulltext Availability:  
Detailed Description  
Claims

#### Detailed Description

... there are also many challenges for the investor associated with what is generally known as **technical analysis**, the discipline of forecasting future price based on the study of **current** market action. **Technical analysis** typically will consider all **current** economic, fundamental, psychological, political, and any further prevailing market influences.

...as used herein, is the discipline of forecasting future price based on the study of **current** market action. One basic tenet of this **technical analysis** is\* the efficient market theory: "Everything known about a company is reflected in the **current** market price". **Technical analysis** considers all **current** economic, fundamental, psychological, political, and any other prevailing market influences.

[0055] Trend direction gives us a first tool in **technical analysis**: the trendline. A trendline is a graphical representation of a **current** trend. While there is no "right" way to draw a trendline, because it is a...

**16/3,K/7**

DIALOG(R)File 349:PCT FULLTEXT  
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01359708 \*\*Image available\*\*

#### **MARKET MOTION DETECTOR DETECTEUR DE MOUVEMENT DU MARCHE**

Patent Applicant/Assignee:

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Legal Representative:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200641918 A2-A3 20060420 (WO 0641918)  
Application: WO 2005US35823 20051006 (PCT/WO US2005035823)  
Priority Application: US 2004616220 20041007

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+ )

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH  
PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN  
YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 5455

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/ 00 ...**

Fulltext Availability:

Detailed Description

Claims

Detailed Description

Description of Related Art

[00031 **Technical analysis** of the market is the examination and study of price movements in an attempt to guess future price movement. This guess can be based on historical and/or a **real - time** view of **price** fluctuations. **Technical analysts** are sometimes referred to "**chartists**" because they typically rely on charts and graphical information for analysis and market predictions. **Technical analysis** is usually applied to stocks, bonds, commodities, futures, or in general any tradable instrument where there are price fluctuations. This **technical analysis** is usually limited to a time frame, although the time frame can be anything from...

**16/ 3,K/ 8**

DIALOG(R)File 349:PCT FULLTEXT

(c) 2009 WIPO/Thomson. All rts. reserv.

01350108 \*\* Image available\*\*

**PATTERN MATCHER**

**DISPOSITIF DE MISE EN CORRESPONDANCE DE CONFIGURATIONS**

Patent Applicant/Assignee:

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Patent Applicant/Inventor:

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Legal Representative:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200631952 A2-A3 20060323 (WO 0631952)

Application: WO 2005US32891 20050914 (PCT/WO US2005032891)

Priority Application: US 2004609258 20040914

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH PL  
PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU  
ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 6429

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/00** ...

**G06F-0015/00** ...

Fulltext Availability:

Detailed Description

Claims

Detailed Description

Description of Related Art

[0003] **Technical analysis** of the market is the examination and study  
of price movements to guess future price movements. This guess can be  
based on a historical and/or a **real - time** view of **price** movements.

**Technical Analysts** are sometimes referred to as "**Chartists**" because  
they typically rely on charts for analysis and market predictions.

**Technical analysis** is usually applied to stocks, bonds, commodities, futures, or in general any tradable instrument where there are price fluctuations. This **technical analysis** is usually limited to a time frame, although this time frame can be anything from...

**16/ 3,K/ 9**

DIALOG(R)File 349:PCT FULLTEXT  
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01297469 \*\*Image available\*\*

**APPARATUS, METHOD AND SYSTEM FOR A DESIGNING AND TRADING  
MACROECONOMIC INVESTMENT VIEWS  
APPAREIL, PROCEDE ET SYSTEME POUR LA CONCEPTION ET LE COMMERCE DE  
VUES D'INVESTISSEMENTS MACRO-ECONOMIQUES**

Patent Applicant/Assignee:

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Patent Applicant/Inventor:

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Legal Representative:

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New York, NY 10281, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 2005101996 A2-A3 20051103 (WO 05101996)  
Application: WO 2005US12991 20050415 (PCT/WO US2005012991)  
Priority Application: US 2004562818 20040416

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+ )  
AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT  
RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA  
ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU MC NL PL  
PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 43583

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/ 00 ...**

Fulltext Availability:

Detailed Description  
Claims

Detailed Description

... point in time estimate. This forecast basis is supported by the earlier observation that the **equity market** prices the incremental shifts in **average** expectations over **time** rather than fundamentals at some specific point in time. The idea in such an embodiment...

**16/ 3,K/ 12**

DIALOG(R) File 349:PCT FULLTEXT

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01064881 \*\*Image available\*\*

**MARKETING OPTIMIZATION SYSTEM**  
**SYSTEME D'OPTIMISATION DU MARKETING**

Patent Applicant/Assignee:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200393930 A2-A3 20031113 (WO 0393930)  
Application: WO 2003US13394 20030430 (PCT/WO US03013394)  
Priority Application: US 2002376495 20020430

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)  
AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NI NO NZ OM PH PL PT RO RU SC SD SE  
SG SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT RO SE  
SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 15001

Main International Patent Class (v7): **G06F-017/ 60**

Fulltext Availability:

Detailed Description

Detailed Description

... For example, if the model included terms for television advertising, print advertising, trade promotion, and **NASDAQ 3 -Day Moving Average**, the marketing simulator 3 16 projects the values for each of these terms over a...

**16/ 3,K/ 17**

DIALOG(R)File 349:PCT FULLTEXT

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00877767

**SYSTEM AND METHOD FOR PRODUCT PRICE TRACKING AND ANALYSIS  
SYSTEME ET PROCEDE DE PISTAGE ET D'ANALYSE DE PRIX DE PRODUITS**

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Legal Representative:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200210961 A2 20020207 (WO 0210961)

Application: WO 2001US23375 20010725 (PCT/WO US0123375)

Priority Application: US 2000625096 20000725

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL  
TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 12180

Main International Patent Class (v7): **G06F-017/ 00**

Fulltext Availability:

Detailed Description

Detailed Description

The **Dynamic** Price Manager 50 provides detailed **statistical analyses** of the price and promotion-related tests as outputs in charts, graphs, as well as...

**16/ 3,K/ 19**

DIALOG(R)File 349:PCT FULLTEXT

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00839924 \*\*Image available\*\*

**PRICE CHARTING SYSTEM AND TECHNIQUE**

**SYSTEME ET TECHNIQUE D'ELABORATION DE GRAPHIQUES DE COURS**

Patent Applicant/Inventor:

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US (Nationality)

Legal Representative:

OLDHAM Scott M (et al) (agent), Oldham & Oldham CO., L.P.A., Twin Oaks  
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Patent and Priority Information (Country, Number, Date):

Patent: WO 200173589 A2 20011004 (WO 0173589)

Application: WO 2001US9211 20010323 (PCT/WO US0109211)

Priority Application: US 2000536328 20000324

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
ES FI GB GD GE GH GM HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU  
LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR  
TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 17588

Main International Patent Class (v7): **G06F-017/ 60**

Fulltext Availability:

Detailed Description

Detailed Description

9) With the power of computers to track literally hundreds of stocks, bonds, or **futures markets** at a time , **Price Action Profile**<sup>Tm</sup> and **Value Chart**<sup>STM</sup> can be used to track the overbought or oversold level...

**16/ 3,K/ 24**

DIALOG(R)File 349:PCT FULLTEXT  
(c) 2009 WIPO/Thomson. All rts. reserv.

00781912

**SECURITY AND MARKET MAKER ANALYSIS SYSTEM**  
**SYSTEME D'ANALYSE DE TITRES POUR TENEURS DE MARCHES**

Patent Applicant/Assignee:

WINDOW ON WALLSTREET INC, 1820 N. Glenville, Suite 100, Richardson, TX  
75280, US, US (Residence), US (Nationality)

Inventor(s):

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JENNINGS John R, 1806 Dover, Rowlett, TX 75088, US,  
DHINGRA Ramesh, 9201 Westpark Drive, Garland, TX 75231, US,

Legal Representative:

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Ross Avenue, Dallas, TX 75202-2799, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200115046 A2 20010301 (WO 0115046)  
Application: WO 2000US23152 20000823 (PCT/WO US0023152)  
Priority Application: US 99379558 19990823

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AT (utility model) AU AZ BA BB BG BR BY BZ CA CH CN CR CU  
CZ DE DE (utility model) DK DK (utility model) DM DZ EE EE (utility  
model) ES FI FI (utility model) GB GD GE GH GM HR HU ID IL IN IS JP KE KG  
KP KR KR (utility model) KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ  
NO NZ PL PT RO RU SD SE SG SI SK SK (utility model) SL TJ TM TR TT TZ UA  
UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 12480

Main International Patent Class (v7): **G06F-017/ 60**

Fulltext Availability:

Detailed Description

Detailed Description



... EPS statements preceded a sharp rise in stock price for the following, i.e., **current** , year. Even though **statistical analysis** of fundamental data yields strong correlations, i.e. , a quite reliable indicator, the data is...the tools set forth in the present invention may also be used in more advanced **technical analyses** , e.g., indicators and systems, which examine and analyze **current** Level I and Level II data, as well as older, "historical" saved data over an...

...and even seconds, as well as portions or aggregates thereof. Using the techniques of the **instant** invention, mathematical operations or techniques, e.g. I indicators and systems, may be applied on **current** and saved Level I and II data together or Level II data alone tick-by...

...on computer screen 88 in FIGURE 5. As discussed, the analysis may be performed on **current** Level II data either alone or in conjunction with saved Level II data and **current** and/or saved Level I data in the pertinent time sequence, e.g., the display...

### III. Text Search Results from Dialog

#### A. NPL Files, Abstract

? show files;ds

- File 471:New York Times Fulltext 1980-2009/May 12  
(c) 2009 The New York Times
- File 139:EconLit 1969-2009/Apr  
(c) 2009 American Economic Association
- File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
(c) 2002 Gale/Cengage
- File 474:New York Times Abs 1969-2009/May 12  
(c) 2009 The New York Times
- File 475:Wall Street Journal Abs 1973-2009/May 12  
(c) 2009 The New York Times
- File 35:Dissertation Abs Online 1861-2009/Apr  
(c) 2009 ProQuest Info&Learning
- File 65:Inside Conferences 1993-2009/May 12  
(c) 2009 BLDSC all rts. reserv.
- File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Apr  
(c) 2009 The HW Wilson Co.
- File 2:INSPEC 1898-2009/May W1  
(c)2009 Institution of Engineering &Technology

Set	Items	Description
S1	144168	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	144168	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S3	14963	(REAL OR ACTUAL)()TIME OR REALTIME OR CURRENT OR (NO OR "NOT" OR WITHOUT OR WITH()OUT)()(DELAY OR WAIT??? OR PENDENCY OR LAG OR TIMELAG) OR INSTANT OR DYNAMIC OR LIVE OR ON(2W)(REQUEST OR DEMAND OR FLY)
S4	1876	(MOVING OR ROLLING OR RUNNING)()(AVERAGE OR AVERAGES OR MEAN OR MEANS) OR (CHART OR CHARTS OR PRICE OR PRICES)(2N)(PATTERN OR PATTERNS) OR (AVERAGE OR MEAN OR PRICE)(2N)TIME OR TMA OR EMA OR SMA
S5	2528	(STOCK? ? OR BOND? ? OR FINANCIAL OR INTERNATIONAL OR COMMODIT??? OR FUTURES OR CERTIFICATE? ? OR MONEY OR SECURIT??? OR

FINANCIAL() PRODUCT? ? OR EQUIT???)() (MARKET OR MARKETS OR TRADING OR TRADER OR TRADERS OR EXCHANG?) OR NYSE OR AMEX OR NASDAQ

S6 2665 S2(10N)S3  
S7 42 S4(5N)S5  
S8 4 S6(S)S7  
S9 48 S2 AND S3 AND S4 AND S5  
S10 33 S9 NOT (PY>2000 OR PD=20001028:20001231)  
S11 32 RD (unique items)

**11/6/1 (Item 1 from file: 471)**

03814114 272086980809

**INVESTING IT: THE SUMMER SWOON -- THE TECHNICIANS; Chart Readers See Little Promise of a Rally**

Sunday August 9 1998

Word Count: 1033

**11/6/2 (Item 2 from file: 471)**

03065481 675995950911

**Sifting Hidden Market Patterns for Profit**

Monday September 11 1995

Word Count: 1439

**11/6/3 (Item 3 from file: 471)**

02883801 897582941123

**Dow Plunges 91.52 As High Rates Lure Investors to Bonds**

Wednesday November 23 1994

Word Count: 1116

**11/6/4 (Item 4 from file: 471)**

02253453 451525901202

**Technology; Going It Alone, Bit by Bit**

Sunday December 2 1990

Word Count: 3251

**11/6/5 (Item 5 from file: 471)**

02221952 928976910407

**All About/ Wall Street Technology; Wall Street's Cutbacks Sidestep Fat Budgets for High-Tech Trading**

Sunday April 7 1991

Word Count: 1658

**11/6/6 (Item 6 from file: 471)**

02064552 042898900820

**Market Place; Havens Are Scarce in Current Slide**

Monday August 20 1990

Word Count: 1082

**11/6/7 (Item 7 from file: 471)**

01866982 120715890812

**Your Money; Is Small Investor Late for the Rally?**

Saturday August 12 1989

Word Count: 784

**11/6/8 (Item 8 from file: 471)**

01806463 114199890123

**CREDIT MARKETS; Rates Expected to Remain Steady**

Monday January 23 1989

Word Count: 919

**11/6/9 (Item 9 from file: 471)**

01665474 178521880803

**Market Place; Which Strategist Do You Listen To?**

Wednesday August 3 1988

Word Count: 844

**11/6/10 (Item 10 from file: 471)**

01621492 017185880311

**CREDIT MARKETS; U.S. Bonds Fall a Bit in Light Day**

Friday March 11 1988

Word Count: 933

**11/6/11 (Item 11 from file: 471)**

01607192 136256880125

**CREDIT MARKETS; Forecasts Favoring Lower Rates**

Monday January 25 1988

Word Count: 727

**11/6/12 (Item 12 from file: 471)**

01500013 215657871122

**When Chaos Rules the Market**

Sunday November 22 1987

Word Count: 4008

**11/6/13 (Item 13 from file: 471)**  
01282098 250932860414  
**MARKET PLACE; Technical Data Signal Danger**  
Monday April 14 1986  
Word Count: 787

**11/6/14 (Item 14 from file: 471)**  
01235724 075502860909  
**CREDIT MARKETS; INTEREST RATES INCREASE AGAIN**  
Tuesday September 9 1986  
Word Count: 776

**11/6/15 (Item 15 from file: 471)**  
01090905 226819851215  
**INVESTING; THE 'ELVES' OF WALL STREET ARE STILL BULLISH**  
Sunday December 15 1985  
Word Count: 976

**11/6/16 (Item 16 from file: 471)**  
01067185 250169850519  
**SELECTIVE OPTIMISM ON STOCKS**  
Sunday May 19 1985  
Word Count: 5410

**11/6/17 (Item 17 from file: 471)**  
00899001 260935840221  
**CREDIT MARKETS; INVESTORS SHUN U.S. DEBT ISSUES**  
Tuesday February 21 1984  
Word Count: 736

**11/6/18 (Item 18 from file: 471)**  
00871902 189361840514  
**Market Place; Chartist Sees Summer Rally**  
Monday May 14 1984  
Word Count: 646

**11/6/19 (Item 19 from file: 471)**  
00804042 155051841216  
**INVESTING; THE COLLISION OF BULLS AND BEARS**  
Sunday December 16 1984  
Word Count: 1227

**11/6/20 (Item 20 from file: 471)**  
00660400 237784830617  
**Market Place; Elliott Wave Is Superbullish**  
Friday June 17 1983  
Word Count: 856

**11/6/21 (Item 21 from file: 471)**  
00654168 026664830711  
**Market Place; Rate Fear and Earnings**  
Monday July 11 1983  
Word Count: 816

**11/6/22 (Item 22 from file: 471)**  
00611607 055227831120  
**STRATEGIES FOR THE SOPHISTICATED**  
Sunday November 20 1983  
Word Count: 1540

**11/6/23 (Item 23 from file: 471)**  
00466161 149032820127  
**BOOKS OF THE TIMES; Books Of The Times**  
Wednesday January 27 1982  
Word Count: 980

**11/6/24 (Item 24 from file: 471)**  
00283822 043975810317  
**DOW ADDS 17.02, ENDS AT 1,002.79**  
Tuesday March 17 1981  
Word Count: 780

**11/6/25 (Item 1 from file: 583)**  
09171297  
MG launches first Internet metals trade service  
UK: FIRST INTERNET METALS TRADE SERVICE LAUNCHED  
05 Oct 1999

**11/6/26 (Item 1 from file: 35)**  
01795169 ORDER NO: AADAA-19935167  
**STOCK PRICE, VOLATILITY AND VOLUME: THE PROFITABILITY OF TECHNICAL  
TRADING RULES USING BOOTSTRAP METHODOLOGY**  
Year: 1999

**11/ 6/ 27 (Item 2 from file: 35)**  
01516221 ORDER NO: AADNN-10872  
**MARKET MICROSTRUCTURE, TECHNICAL ANALYSIS AND STOCK PRICE  
MOVEMENTS (TORONTO STOCK EXCHANGE )**  
Year: 1995

**11/ 6/ 28 (Item 1 from file: 2)**  
08062796  
**Title: Option pricing under conditions of systematic asymmetry and kurtosis**  
**Book Title:** Computation in Economics, Finance and Engineering: Economic  
Systems. Proceedings volume from the IFAC Symposium  
**Publication Date:** 2000  
**INSPEC Update Issue:** 2001-040  
**Copyright:** 2001, IEE

**11/ 6/ 29 (Item 2 from file: 2)**  
06235028  
**Title: Modelling dynamic systems with biased regression and spectral methods**  
**Publication Date:** 1995  
**INSPEC Update Issue:** 1996-014  
**Copyright:** 1996, IEE

**11/ 6/ 30 (Item 3 from file: 2)**  
05421980  
**Title: Stock price pattern matching system- dynamic programming  
neural networks approach**  
**Publication Date:** 1992  
**INSPEC Update Issue:** 1993-022  
**Copyright:** 1993, IEE

**11/ 6/ 31 (Item 4 from file: 2)**  
04443772  
**Title: Technical charting lights up securities trading**  
**Publication Date:** June 1989  
**INSPEC Update Issue:** 1989-019  
**Copyright:** 1989, IEE

**11/ 6/ 32 (Item 5 from file: 2)**  
03872322  
**Title: New product offers real - time technical analysis charting**  
**Publication Date:** March 1987  
**INSPEC Update Issue:** 1987-011  
**Copyright:** 1987, IEE

**11/ 3,K/ 2 (Item 2 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

03065481 NYT Sequence Number: 675995950911 (USE FORMAT 7 FOR FULLTEXT)

**Sifting Hidden Market Patterns for Profit**

GEORGE JOHNSON

New York Times, Late Edition - Final ED, COL 2, P 1

Monday September 11 1995

DOCUMENT TYPE: Newspaper; Biography LANGUAGE: English RECORD TYPE:  
Fulltext

Word Count: 1439

... bigger killing by using information technology to outsmart the  
glitziest casino of them all -- the **financial markets** .

...investment banks employ former physicists and mathematicians who try to  
apply scientific models to the **financial markets** .

A few end up at small boutique investment houses or consulting firms;  
others, like Dr...

... For years, hordes of investors called **technical analysts** have  
ignored the admonitions about efficient markets. Hoping to gauge investor  
sentiment, they scrutinize graphs of stock **prices** for telltale **patterns**  
with names like breakaway gap, double top, rounded bottom and the  
head-and-shoulder formation...

...trying to apply insights into the behavior of complex systems to the  
economy and the **financial markets** .

...harder to believe that all this information is reflected in the price at  
every possible **instant** ," he said. With powerful enough software, it might  
be possible to find neglected scraps.

...CAPTIONS: use computers to gain an edge at roulette and are now  
applying the techniques to **financial markets** . (Steve Northrup for The  
New York Times)

**11/ 3,K/ 4 (Item 4 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

02253453 NYT Sequence Number: 451525901202 (USE FORMAT 7 FOR FULLTEXT)

**Technology; Going It Alone, Bit by Bit**

BY TIM RACE; Tim Race is an editor of this magazine.

New York Times, Late Edition - Final ED, COL 1, P 19

Sunday December 2 1990

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext



SECTION HEADING: SECT6  
Word Count: 3251

... band appears, displaying a rolling stream of stock symbols and prices from the New York **Stock Exchange** . Meanwhile, Siegel, 38,

searches a screen for the talismanic clues that might tell her to...

...professionals, are fulfilling the personal computer's long-vaunted promise of revolutionizing the way people **live** and work. In the past few years, a confluence of faster hardware, better software and...

...t want anyone to know about it."

Once a floor trader on the New York **Commodities Exchange** , Berger founded a discount commodities brokerage on Wall Street with his wife in 1978. In...

...employing a \$300 software package called Fund Master T.C. to mine that data for **moving averages** and other trends, O'Brien is able to apply his own criteria for comparing the...

...found only in mainframe computers costing millions of dollars. Berger and Siegel, who trade in **real time** and therefore demand high number-crunching ability, operate six 386 models in addition to their...

...and he frequently holds a single contract for two or three weeks.

As do many **commodity traders** , James relies on **technical analysis** -- the study of a commodity's historic prices to discern subtle patterns that could recur...

...he explains. "If you're just using monthly charts and drawing trendlines, you can do **technical analysis** with a pencil. And they've been doing it that way for 30 or 40..."

**11/ 3,K/ 5 (Item 5 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

02221952 NYT Sequence Number: 928976910407 (USE FORMAT 7 FOR FULLTEXT)

**All About/ Wall Street Technology; Wall Street's Cutbacks Sidestep Fat Budgets for High-Tech Trading**

KURT EICHENWALD

New York Times, Late Edition - Final ED, COL 1, P 8

Sunday April 7 1991

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT3

Word Count: 1658

... Automation at the New York **Stock Exchange** dates back to 1892, when the Big Board inaugurated its first electric board designed to...

...went into decades of slumber in its hunt for technology. But in May 1962, the **stock market** dropped a scandalous 35 points in a single day. The decline was studied by the...

...The **stock market** crash in October 1987, when more than 600 million shares were traded on a single...

...analytical proprietary trading unit in 1986. About 26 people worked in the unit, including traders, **technical analysts** and computer specialists. The unit and its technological expertise are now being merged with other...

...upstarts have had numerous opportunities to show the marketplace that they have something to offer. **Nasdaq**, the electronic price quotation system run by the National Association of Securities Dealers, last year...

...P.L.C., has given investors several opportunities to trade securities when the New York **Stock Exchange** was closed.

With Instinet, traders -- be they institutional money managers or brokers -- can directly buy...

...The system, which is delivered on a Reuters terminal, has multiple windows which simultaneously display **real - time price** quotes and expressions of interest to buy or sell a stock and to execute a...

...Index arbitrage enables traders to make a profit from price differentials on the stock and **futures markets**.

Though it may not sound sexy, Susquehanna has gained a strong reputation since the New York **Stock Exchange** began weekly listings of the largest firms in the index arbitrage business. Each week, Susquehanna...

...CAPTIONS: York Times)

Table: "Computers on the Floor"

The most active members of the New York **Stock Exchange** engaged in index arbitrage program trading in the week ended March 15. Total number of...

...4

Miller Tabak	1.7
Shearson Lehman	1.0
Gruntal	0.7

(Source: New York **Stock Exchange**)

**11 / 3, K / 9 (Item 9 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

01665474 NYT Sequence Number: 178521880803 (USE FORMAT 7 FOR FULLTEXT)

**Market Place; Which Strategist Do You Listen To?**

Phillip H. Wiggins

New York Times, Late City Final Edition ED, COL 3, P 6

Wednesday August 3 1988

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECTD

Word Count: 844

TEXT:

WITH many individual investors remaining on the sidelines, wary of a **stock market** that gives little hint of where it is headed, brokers are scanning the reports of...

... money-supply figures, interest rates and a comparison of the 20-week versus 40-week **moving averages** in the Standard & Poor's 500.

The latter measure is based on historical evidence that a bull market is under way when the 20-week **moving average** rises above the 40-week average and the 40-week **moving average** turns up within a few months after a market bottom. However, these conditions have not occurred since the December lows last year, Mrs. Kent said.

Mrs. Kent said her **current** pessimism is also based on a number of proprietary measures of long-term volatility in...

... Mrs. Kent, who sees little **current** danger of inflation, fears that the market is obsessed with that possibility. The real concern...

...end of the year, assuming the banking system holds together," she said.

Ed Nicoski, chief **technical analyst** at Piper, Jaffray & Hopwood Inc. in Minneapolis, is also advising caution.

...by the market to reach new highs before the end of the year if the **bond market** rallies, Mr. Nicoski said. "There's no compelling reason to become overly bearish just yet...

...will be a sizable rally leading up to the election in November."

John Brooks, a **technical analyst** at Marshall & Company in Atlanta, believes the Dow Jones industrial average will hit 2,300...

...huge amounts of foreign money and domestic institutional funds are poised to re-enter the **stock market** and the view that stocks are increasingly attractive because price-earnings ratios have declined in...

**11/ 3,K/ 12 (Item 12 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

01500013 NYT Sequence Number: 215657871122 (USE FORMAT 7 FOR FULLTEXT)

## When Chaos Rules the Market

JAMES GLEICK

New York Times, Late City Final Edition ED, COL 1, P 1

Sunday November 22 1987

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT3

Word Count: 4008

TEXT:

THAT the **stock market** embodies turbulence, mayhem and unpredictability, no survivor of October 1987 can doubt. Some economists, borrowing... those techniques to the especially intricate and self-conscious brand of disorder displayed by the **financial markets**. In the aftermath of the explosive movements of the last month, some researchers believe that the methods of chaos theory may be particularly appropriate to the **stock market**, a system famous for creating trends and patterns and then violently defying them.

... "We now know very clearly that **stock market** prices cannot be analyzed by the old procedures that we used," said James Ramsey, a...

...The **stock market** is the economy's most visible showplace for the waxing and waning of wealth and...

...unexpected ways, with time lags that sometimes obscure their importance.

\* Traditional ways of looking at **stock market** data, from random walk theory to **technical analysis**, come into serious question in light of chaos, according to some economists. (See box, page...

...scientists believe that the stormy oscillations of the last month reflect those tendencies in the **financial markets**.

"Somebody who's worked on chaos is in no way surprised that this sort of...

...simple systems can produce streams of data that rise and fall as erratically as the **stock market**, indicating that they may be governed by the rules of chaos.

...complexity that comes with human behavior: the same people who are trying to understand the **stock market** are quite capable of influencing the variables they seek to predict.

### Global Instability

There were moments, during the frenzied collapse of Oct. 19, when the **stock market** produced the financial equivalent of water flowing uphill.

Options to buy or sell stock - calls...

...an over-the-counter market maker could or would answer his phone at a given **instant**; whether a sharp price change would breach a threshold and

set off computers managing the...

..."It is true that people who have been studying the **stock market** with the tools of nonlinear dynamics have found, before this last episode, evidence of chaotic...

< removed unnecessary information >

**11/ 3,K/ 13 (Item 13 from file: 471)**  
DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

01282098 NYT Sequence Number: 250932860414 (USE FORMAT 7 FOR FULLTEXT)

**MARKET PLACE; Technical Data Signal Danger**

Daniel F. Cuff

New York Times, Late City Final Edition ED, COL 3, P 10

Monday April 14 1986

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECTD

Word Count: 787

TEXT:

ARE technical indicators flashing a correction ahead for the **stock market** ?

A chart in a recent issue of the Merrill Lynch Market Letter shows that 85 percent of stocks on the New York **Stock Exchange** are above their 200-day **moving averages** of prices. This is up from about 40 percent when the rally began last fall.

**Moving averages** are statistical techniques used to smooth fluctuations in stock price movements to better show the...

... market top, he said, 90 percent of Big Board stocks were above their 200-day **moving averages** for a period of six months. Some other signs that decline might set in for...

...In addition, he said, figures for nonblock **stock trading** of under 10,000 shares have turned negative. "Typically, it's the smart money and it's showing clear signs of selling into strength," he said.

Mr. Nicoski and other **technical analysts** saw the market rising in the long term. But in the intermediate term, he added...

...selective and should not chase stocks - buy stocks that have already moved up smartly.

Many **analysts** of **technical** trends, while they speak of consolidation, see the bull market galloping in the long run...

...low from 1964 to 1966, when the market went from 750 to 1,000.

The **technical analysts** may be seeing some negatives in their statistical tea leaves but nothing to test the...

11/ 3,K/ 22 (Item 22 from file: 471)  
DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

00611607 NYT Sequence Number: 055227831120 (USE FORMAT 7 FOR FULLTEXT)

**STRATEGIES FOR THE SOPHISTICATED**

NATHANIEL C. NASH

New York Times, Late City Final Edition ED, COL 1, P 81

Sunday November 20 1983

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT12

Word Count: 1540

TEXT:

**STOCK market** technicians were once considered the eggheads of Wall Street. But no more. Those individuals who...

...that such exercises are not beyond their abilities - with some diligence.

In its simplest form, **technical analysis** uses historical and **current** data from the stock and **bond markets** to predict the long-term and short-term thrusts of stocks. Broad price- trend statistics...

... any hints at any change in that trend - they also apply similar techniques to perform **technical analysis** of individual stocks and stock groups.

But what baffles many beginners about the **chartists** ' ritual is that they pay no attention to the "fundamentals" of a stock - the strength...

...no one indicator or chart can be trusted implicitly to predict major changes in the **stock market** , nor can one afford to rely on only a handful of "favorite" technical indicators. When...

...and ratios. Many technicians regularly track as many as 100 such indicators.

A foray into **technical analysis** is not a 10-minute-a-week exercise.

... The technical indicators that track the ups and downs of the **stock market** are most frequently divided into three categories - breadth-momentum measurements, sentiment indicators and monetary signals...

...examination of the internal strength or weakness of the market by looking at trading volume **patterns** and **price** trends, "a kind of electrocardiogram of the market," said Mr. Yashewski. He noted that analysts compare an indicator as simple as trading volume on the New York **Stock Exchange** with the movement in the exchange's composite index and look for divergent trend lines...

...of weekly declines from the number of advances and plots that against a 50- week **moving average** of the same figures. When the weekly figure is above the 50-week **moving average** , it indicates a rising market, and vice versa.

...institute began tracking the index in 1941, when the weekly plots have been above the **moving average**, "we've been in a major bull market 91 percent of the time." When the plot has been below the **moving average**, he said, the market has been in a major bear phase 67 percent of the...

...A favorite index of Robert W. Colby, vice president and **technical analyst** at Smith Barney Harris Upham, is the ratio of short sales by the public to...

... Other sentiment indicators include short-interest ratios for the New York and American **Stock Exchanges**, which have been near historic highs lately and thus are very bullish signs and a 10-day **moving average** of Big Board odd-lot selling, which has been neutral recently.

MONETARY INDICATORS The monetary indicators are considered the weakest aspect of **technical analysis**. It is essentially the study of trends in interest rates and the prices of publicly...

...over the discount rate, the reserve requirement for its member banks and margin requirements on **stock trading** that the Fed sets for the brokerage industry.

**11/ 3,K/ 26 (Item 1 from file: 35)**  
DIALOG(R)File 35:Dissertation Abs Online  
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01795169 ORDER NO: AADAA-19935167  
**STOCK PRICE, VOLATILITY AND VOLUME: THE PROFITABILITY OF TECHNICAL TRADING RULES USING BOOTSTRAP METHODOLOGY**  
Author: KWON, KI-YEOL  
Degree: PH.D.  
Year: 1999  
Corporate Source/Institution: LEHIGH UNIVERSITY (0105)  
Source: VOLUME 60/06-A OF DISSERTATION ABSTRACTS INTERNATIONAL.  
PAGE 2156. 202 PAGES

...value than earlier studies. The profitability of the technical trading rules (the filter rules and **moving average** rules) is investigated for the individual stocks in the first essay. Although the performances of...

...technical trading rules vary across securities, the 0.5% filter rule and the 10-day **moving average** rule generally perform well over all securities in the DJIA with one-way 0.1% transaction costs. The second essay consists of an empirical **analysis** on **technical** trading rules (the simple price **moving average**, momentum, and trading volume) in the **stock market** index. The traditional t-test is applied to examine the

value of technical trading rules...

...1) the parametric bootstrap, (2) non-parametric bootstrap, (3) asymptotic method. The **current** study uses the Monte Carlo simulation. Unlike conventional statistical methods, the bootstrap method may be...

**11/ 3,K/ 27 (Item 2 from file: 35)**

DIALOG(R)File 35:Dissertation Abs Online

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01516221 ORDER NO: AADNN-10872

**MARKET MICROSTRUCTURE, TECHNICAL ANALYSIS AND STOCK PRICE MOVEMENTS (TORONTO STOCK EXCHANGE )**

Author: LIU, FENG

Degree: PH.D.

Year: 1995

Corporate Source/Institution: CONCORDIA UNIVERSITY (CANADA) (0228)

Source: VOLUME 57/07-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

PAGE 3172. 162 PAGES

ISBN: 0-612-10872-4

This thesis uses quotation and trade-by-trade data from the Toronto **Stock Exchange** (TSE) to examine a number of issues associated with the efficiency of capital markets, asset...

...variables (volume and number of trades, respectively). While historical trade information is useful in predicting **current** stock price movements and quote revisions, the incremental predictive power from adding technical trading rule signals (such as **moving average** crossings, trading range breaks and relative strength) is very limited. Thus, these technical techniques consistently...

**11/ 3,K/ 30 (Item 3 from file: 2)**

DIALOG(R)File 2:INSPEC

(c)2009 Institution of Engineering &Technology. All rts. reserv.

05421980

**Title: Stock price pattern matching system- dynamic programming neural networks approach**

**Author(s):** Tanigawa, T.; Kamijo, K.

**Author Affiliation:** NEC Corp., Kanagawa, Japan

**Inclusive Page Numbers:** 465-71 vol.2

**Publisher:** IEEE, New York, NY

**Country of Publication:** USA

**Publication Date:** 1992

**Conference Title:** IJCNN International Joint Conference on Neural Networks



(Cat. No.92CH3114-6)

**Conference Date:** 7-11 June 1992

**Conference Location:** Baltimore, MD, USA

**Conference Sponsor:** IEEE Int. Neural Network Soc

**ISBN:** 0 7803 0559 0

**U.S. Copyright Clearance Center Code:** 0 7803 0559 0/92/\$3.00

**Item Identifier (DOI):** <http://dx.doi.org/10.1109/IJCNN.1992.226944>

**Number of Pages:** 4 vol. (xii+ 962+ xiii+ 1023+ xii+ 1006+ xi+ 868)

**Language:** English

**Subfile(s):** C (Computing & Control Engineering); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1993-022

**Copyright:** 1993, IEE

**Abstract:** The **dynamic** programming neural network (DNN). DNN is based on the integration of the neural and **dynamic** programming matching method (DP-matching). In order to find patterns similar to a specified pattern ...

...bias is eliminated by a stock price normalization method and a neural network. A stock **price pattern** matching system using the DNN approach was developed on an NEC EWS4800 workstation. This system...

...graphical user interface on an X-Window system. A subjective evaluation was conducted. The stock **price patterns** which were classified by DNN were evaluated by three **chartists** (human experts). High correlation was found between the similarity by DNN and the evaluation by **chartists**. The proposed DNN system is able to match patterns, which **chartists** judge as similar patterns

**Descriptors:** **dynamic** programming; neural nets; pattern recognition; **stock markets**

**Identifiers:** **dynamic** programming neural networks; nonlinear **time** elasticity; stock **price** normalization; stock **price pattern** matching system; NEC EWS4800 workstation; graphical user interface; X-Window; **chartists**

11/ 3,K/ 31 (Item 4 from file: 2)

DIALOG(R)File 2:INSPEC

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04443772

**Title:** **Technical charting lights up** securities trading

**Author(s):** Schmerken, I.

**Journal:** Wall Street Computer Review, vol.6, no.9, pp.42-63

**Country of Publication:** USA

**Publication Date:** June 1989

**ISSN:** 0738-4343

**CODEN:** WSCRDQ

**Language:** English  
**Subfile(s):** D (Information Technology for Business); E (Mechanical & Production Engineering)  
**INSPEC Update Issue:** 1989-019  
**Copyright:** 1989, IEE

**Title:** **Technical charting lights up** securities trading

**Abstract:** From Wall Street to Main Street, new developments in **technical analysis** software make a once arcane financial specialty accessible to the professional investor. At one time considered a profession for fanatics with green eyeshades, **technical analysis** used to rely on technicians who collected massive amounts of data by hand to chart trading histories. Now they can subscribe to **real - time** services that update historical prices with fresh tick-by-tick data or reach back in time by supplying users with 25 years of price history. **Technical analysts** examine **chart patterns** to discern historical price and volume trends. They believe history repeats itself. Several software packages...

**Descriptors:** buyer's guides; investment; **securities trading** ; software packages  
**Identifiers:** **securities trading** ; **technical analysis** software; software packages

**11/ 3,K/ 32 (Item 5 from file: 2)**  
DIALOG(R)File 2:INSPEC  
(c)2009 Institution of Engineering &Technology. All rts. reserv.

03872322

**Title:** **New product offers** real - time technical analysis **charting**

**Authors(s):** Byramji, H.M.

**Journal:** Wall Street Computer Review, vol.4, no.6, pp.20-6

**Country of Publication:** USA

**Publication Date:** March 1987

**ISSN:** 0738-4343

**CODEN:** WSCRDQ

**Language:** English

**Subfile(s):** C (Computing & Control Engineering); D (Information Technology for Business); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1987-011

**Copyright:** 1987, IEE

**Title:** **New product offers** real - time technical analysis **charting**

**Abstract:** **Technical analysis** is a proven way of predicting short-term price movements and is widely used by professional and individual investors ranging from portfolio managers to **commodity traders** . For those who need both daily and **real - time technical analysis** then the CTS Trend software package fits the bill. It is divided into modules, users...

...Charts module containing most of the commonly used indicators, including

high/low/close bar charts, **moving averages** , point and figure, departure, ratio and spread charts. CTS Trend is menu driven and is...

**Descriptors:** **commodity trading** ; financial data processing; investment; **real - time** systems; software packages

**Identifiers:** **real - time technical analysis** charting; short-term price movements; investors; portfolio managers; **commodity traders** ; CTS Trend software package; Fundamental Charts module; high/low/close bar charts; **moving averages** ; menu driven

## B. NPL Files, Full-text

? show files;ds

File 634: San Jose Mercury Jun 1985-2009/May 09  
(c) 2009 San Jose Mercury News

File 626: Bond Buyer Full Text 1981-2008/Jul 07  
(c) 2008 Bond Buyer

File 268: Banking Info Source 1981-2009/May W1  
(c) 2009 ProQuest Info&Learning

File 9: Business & Industry(R) Jul/1994-2009/May 11  
(c) 2009 Gale/Cengage

File 15: ABI/Inform(R) 1971-2009/May 11  
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File 16: Gale Group PROMT(R) 1990-2009/Apr 21  
(c) 2009 Gale/Cengage

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(c) 2009 Gale/Cengage

File 160: Gale Group PROMT(R) 1972-1989  
(c) 1999 The Gale Group

File 275: Gale Group Computer DB(TM) 1983-2009/Apr 16  
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File 621: Gale Group New Prod. Annou.(R) 1985-2009/Apr 07  
(c) 2009 Gale/Cengage

File 636: Gale Group Newsletter DB(TM) 1987-2009/Apr 21  
(c) 2009 Gale/Cengage

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(c) 2009 McGraw-Hill Co. Inc

File 625: American Banker Publications 1981-2008/Jun 26  
(c) 2008 American Banker

Set	Items	Description
S1	205888	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	205888	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S3	80436	(REAL OR ACTUAL)()TIME OR REALTIME OR CURRENT OR (NO OR "NOT" OR WITHOUT OR WITH()OUT)()(DELAY OR WAIT??? OR PENDENCY OR LAG OR TIMELAG) OR INSTANT OR DYNAMIC OR LIVE OR ON(2W)(REQU-

EST OR DEMAND OR FLY)  
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S5 58055 (STOCK? ? OR BOND? ? OR FINANCIAL OR INTERNATIONAL OR COMMODIT??? OR FUTURES OR CERTIFICATE? ? OR MONEY OR SECURIT??? OR FINANCIAL()PRODUCT? ? OR EQUIT???)()(MARKET OR MARKETS OR TRADING OR TRADER OR TRADERS OR EXCHANG?) OR NYSE OR AMEX OR NASDAQ  
S6 3955 S2(10N)S3  
S7 129 S4(5N)S5  
S8 1 S6(S)S7  
S9 11072 S2(S)S3  
S10 303 S4(10N)S5  
S11 24 S9(2S)S10  
S12 24 S8 OR S11  
S13 6 S12 NOT (PY> 2000 OR PD= 20001028:20001231)  
S14 6 RD (unique items)

**14/ 6/ 1 (Item 1 from file: 15)**

01597780 02-48769

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

**The trend is your friend**

Apr 1998 LENGTH: 3 Pages

WORD COUNT: 1776

**14/ 6/ 2 (Item 2 from file: 15)**

01432594 00-83581

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

**Essential fund-switching software**

Jun 2, 1997 LENGTH: 2 Pages

WORD COUNT: 1322

**14/ 6/ 3 (Item 3 from file: 15)**

00382045 87-40879

**On-Line Services That Give Some Traders an Edge/ How Club 3000 Members Rate On-Line Services**

Nov 1987 LENGTH: 6 Pages

**14/ 6/ 4 (Item 4 from file: 15)**

00232224 84-10785

**Technicians' World: The Numbers Game**

Mar 21/Apr 3, 1984 LENGTH: 3 Pages

**14/ 6/ 5 (Item 1 from file: 148)**

07878363 SUPPLIER NUMBER: 15496501 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**The impact of exchange rate changes on investment in research and development.**

Summer, 1994

WORD COUNT: 6961 LINE COUNT: 00568

**14/ 6/ 6 (Item 2 from file: 148)**

02036493 SUPPLIER NUMBER: 03289240 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**Tiptoeing into futures trading.**

June, 1984

WORD COUNT: 2233 LINE COUNT: 00162

**14/ 3,K/ 1 (Item 1 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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01597780 02-48769

**The trend is your friend**

Anderson, James A

Money v27n4 PP: A1-A4 Apr 1998

ISSN: 0149-4953 JRNL CODE: MON

WORD COUNT: 1776

...TEXT: s closing price over a set number of days, usually 50, 100 or 200.

A **stock trading** above its **moving average** is on an upswing, say technicians (again, see the Black & Decker chart); one that's below may continue to flounder (see the Intel chart on page A2).

**Technical analysis** like this can also become a self-fulfilling prophecy, since portfolio managers are all looking...

...day average against the 50-day, which he says can give a strong indication of **current** demand vs. the recent past.

**14/ 3,K/ 3 (Item 3 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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00382045 87-40879

**On-Line Services That Give Some Traders an Edge/ How Club 3000 Members Rate On-Line Services**

Stein, Jon

Futures: The Magazine of Commodities & Options v16n11 PP: 59-63, 66 Nov 1987

ISSN: 0746-2468 JRNL CODE: CMM

ABSTRACT: Increased interest in the **futures markets** has resulted in the proliferation and consolidation of online, **real - time price** -quoting services. The most conventional methods of quote delivery consist of dedicated land lines, satellite...

...FM frequency, and microwave transmission. A developed price-quotation system includes: 1. hardware, 2. a **dynamic** database of prices, 3. software, and 4. an online news service. Some electronic online services...

...and System One from Commodity Quote-Graphics (CQG) and MarketVision. Information packages include Future-Source **Technical** , TeleTrac, CNS **Analyst** , MoneyCenter, Quotron 800, and Quotron 1000. Quotation services include Chart 100, Lotus Signal, WarMachine, TrendSetter...

**14/ 3,K/ 4 (Item 4 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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00232224 84-10785

**Technicians' World: The Numbers Game**

Rosenberg, Hilary

Financial World v153n7 PP: 16, 20-21 Mar 21/Apr 3, 1984

ISSN: 0015-2064 JRNL CODE: TWO

ABSTRACT: **Technical analysts** believe the present state of the market is only the long-anticipated correction in an...

...technicians, including Stan Weinstein, editor of The Professional Tape Reader, correctly predicted the market's **current** downswing. Roy Blumberg, of A. G. Becker, looks for 2 signals marking a positive turnaround...

...lines for the over-the-counter market, the American Stock Exchange, and the New York **Stock Exchange**, and major market averages moving above their 30-week **moving averages**. For now, analysts advocate avoiding most stock groups.



# WEST Search History for Application 11415022

Creation Date: 2010041208:00

## Prior Art Searches

Query	DB	Op.	Plur.	Thes.	Date
group\$3 and (stocks or securities)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
(group\$3 and (stocks or securities) ) and (watchlist or watch-list or watch adj list)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
(group\$3 and (stocks or securities) and (watchlist or watch-list or watch adj list) ) and (technical adj analysis or technical with analysis or technical near analysis)and (formula or formulae)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
(group\$3 and (stocks or securities) and (watchlist or watch-list or watch adj list) ) and (technical adj analysis or technical with analysis or technical near analysis or moving adj averages)and (formula or formulae)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
(group\$3 and (stocks or securities) and (watchlist or watch-list or watch adj list) and (technical adj analysis or technical with analysis or technical near analysis or moving adj averages)and (formula or formulae) ) and 705/37	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
'6963855'.pn.	USPT	OR	YES		04-12-2010
'6963855'.pn.	USPT	OR	YES		04-12-2010
6963855.pn.	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
(6963855.pn. ) and watchlist	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
705/37 and watchlist	PGPB, USPT, USOC, EPAB, JPAB, DWPI,	OR	YES		04-12-2010

	TDBD				
<b>705/36r and watchlist</b>	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
<b>stock adj market and watchlist</b>	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
<b>watchlist</b>	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
<b>(watchlist ) and (track\$3 or tracking) and stocks</b>	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010
<b>(watchlist and (track\$3 or tracking) and stocks ) and (technical adj analysis or technical with analysis or technical near analysis or moving adj averages or moving with averages or moving near averages or mov\$3 near2 averages)</b>	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		04-12-2010

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent application of:

Applicant: Jeffrey Bruce McGeorge  
Application No.: 10/415,022  
Filing Date: September 5, 2003  
Title: A TRADING SYSTEM  
  
Examiner: Ella Colbert  
Art Unit: 3696  
Docket No. CULLP0177US

**REPLY TO OFFICE ACTION DATED JUNE 30, 2009**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Favorable reconsideration of the above-referenced application is respectfully requested in view of the following part(s) of this reply:

Amendments to the Claims  
Remarks

In the event any fee or additional fee is due in connection with the filing of this paper, the Commissioner is authorized to charge those fees to our Deposit Account No. 18-0988 (under the above Docket Number). In the event an extension of time is needed to make the filing of this paper timely and no separate petition is attached, please consider this a petition for the requisite extension and charge the fee to our Deposit Account No. 18-0988 (under the above Docket Number).

## Amendments to the Claims

1. (currently amended) A method of informing users of stock market events comprising the steps of:

(a) receiving real-time stock market data on a network of computers;

(b) receiving on the network of computers instructions from a user to specify watch data, the watch data including a stock market technical analysis request with technical analysis formulae criteria to be applied to the stock market data relating to at least one stock to provide at least one user-specified technical analysis indicator value which signals the occurrence of a change in stock value significant to the user;

(c) using the network of computers to apply the user-specified watch data including the stock market technical analysis formulae criteria to the real-time stock market data in real-time to ~~provide at least one calculated technical analysis indicator value~~ ascertain whether a valid technical response to the watch data has occurred based on the real-time stock market data; and

(d) causing a real-time notification by the network of computers to be provided to the user via a remote communications device upon the occurrence of ~~the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market data occur~~ a valid technical response to the user-specified watch data, the real-time notification directed to a remote communications device of the user.

2. (previously presented) A method as claimed in claim 1, wherein receiving step (b) includes receiving instructions from the user to provide technical analysis criteria for specific stocks, and providing the requested technical analysis criteria for the specific stocks via the remote communications device.

3. (previously presented) A method as claimed in claim 1, wherein receiving step (b) includes receiving instructions from the user to provide technical analysis

criteria of overall stock market trends, and providing the requested technical analysis criteria of the overall stock market trends via the remote communications device.

4. (previously presented) A method as claimed in claim 1, wherein the remote communications device comprises a users fixed or mobile telephone, a personal computing device, a facsimile or pager of the user.

5-9. (cancelled)

## Remarks

The various parts of the Office Action (and other matters, if any) are discussed below under appropriate headings.

### ***Claim Rejections - 35 USC § 112***

The claims have been rejected under 35 USC § 112 as failing to comply with the enablement requirement and as being indefinite. Claim 1 has been amended to retain the functionality of the claimed method but to use language more directly derived from the specification as filed, thereby rendering the rejections moot.

Specifically, claim 1 has been amended to recite a method of informing users of stock market events including receiving real-time stock market data on a network of computers, receiving on the network of computers instructions from a user to specify watch data, the watch data including a stock market technical analysis request with technical analysis formulae (page 3, line 29-page 4, line 2), using the network of computers to apply the user-specified watch data including the stock market technical analysis formulae to the real-time stock market data in real-time to ascertain whether a valid technical response to the watch data has occurred based on the real-time stock market data (page 5, lines 15-20), and causing a real-time notification by the network of computers to be provided to the user via a remote communications device upon the occurrence of a valid technical response to the user-specified watch data, the real-time notification directed to a remote communications device of the user (page 5, lines 15-20).

### ***Claim Rejections - 35 USC § 103***

Claims 1-4 have been rejected as being unpatentable over U.S. Patent No. 7356499 (herein "Amburn") in view of U.S. Patent No. 6907404 (herein "Li"). Withdrawal of the rejection is respectfully requested for at least the following reasons.

The Examiner contends that Amburn discloses technical analysis and a teaching of applying user-specified technical analysis to real-time stock market data. The Examiner then raises Li, which discloses one definition of "Technical Analysis", and contends that the combination of these features from these two documents renders the claims unpatentable.

As with previous citations raised and relied on, the Amburn citation lacks at least one feature of the present application due to the fact that it is a system that provides for stocks to be bought or sold automatically in a transaction according to specific rules provided by a user. As such, the Amburn citation lacks the feature of claim 1 that “causing a real-time notification by the network of computers to be provided to the user via a remote communications device upon the occurrence of a valid technical response to the user-specified watch data, the real-time notification directed to a remote communications device of the user”. There is no teaching of this feature, nor the technical analysis aspects of the claim 1, in Amburn.

It is noted that Amburn does discuss at column 5, lines 6-8 providing “[a] confirmation is provided by market computer 18 upon the actual transaction being completed”. This notification, however, is a receipt that the transaction has occurred. It is not issued by the network of computers performing the comparison nor is it issued in real-time.

The present application, in contrast to Amburn, discloses a method to allow a user to take advantage of the changes in stock data by providing the user with a notification when a stock should be purchased or sold. By direct comparison, in the Amburn system, a user will tell that system to buy and sell according to particular rules and the system will do that, whereas in the present application, the user will tell the network to advise the user when a situation occurs. Therefore, in the Amburn system, the network performs the transaction automatically and may advise the user that the transaction has been performed, but not in real time, whereas in the present application the network notifies the user in real-time of an occurrence that offers an advantage.

Accordingly, in Amburn the notification is not required to be in real-time as the transaction has already occurred whereas in the present application, the notification must be in real-time in order to be of value.

Similarly, there is no teaching in Li of a real-time notification to a user. In fact, Li teaches at column 9, lines 46-58 that “the number of templates with which the investment chart is compared will directly impact the effectiveness of the search.” It also discusses how the greater the number of templates provided, the better the accuracy, but the greater the amount of time required for the analysis. It then suggests the provision of several hundred templates for each pattern to provide “acceptable analysis times.” It is clear from these excerpts that Li does not teach a system that applies the user-specified watch data including the stock market technical analysis formulae in real-time and produces a real-time notification to a user.





## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	6011182
<b>Application Number:</b>	10415022
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1059
<b>Title of Invention:</b>	Trading system
<b>First Named Inventor/Applicant Name:</b>	Jeffrey Bruce Mcgeorge
<b>Customer Number:</b>	23908
<b>Filer:</b>	Patrick Francis Clunk/Moira Glover
<b>Filer Authorized By:</b>	Patrick Francis Clunk
<b>Attorney Docket Number:</b>	CULLP0177US
<b>Receipt Date:</b>	03-SEP-2009
<b>Filing Date:</b>	05-SEP-2003
<b>Time Stamp:</b>	15:30:49
<b>Application Type:</b>	U.S. National Stage under 35 USC 371

### Payment information:

Submitted with Payment	no
------------------------	----

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		P0177US-R05.pdf	36065 <small>67fe62ebefe735e130d021d94bcc62777951bd4f</small>	yes	6

<b>Multipart Description/PDF files in .zip description</b>			
<b>Document Description</b>		<b>Start</b>	<b>End</b>
Amendment/Req. Reconsideration-After Non-Final Reject		1	1
Claims		2	3
Applicant Arguments/Remarks Made in an Amendment		4	6

**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>	36065
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**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875	Application or Docket Number <b>10/415,022</b>	Filing Date <b>09/05/2003</b>	<input type="checkbox"/> To be Mailed
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APPLICATION AS FILED – PART I			OTHER THAN SMALL ENTITY			
	(Column 1)	(Column 2)	SMALL ENTITY <input checked="" type="checkbox"/>	OR		
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A		N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =	OR	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).					
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>						
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY			
	(Column 1)	(Column 2)	(Column 3)					
AMENDMENT	<b>09/03/2009</b>	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	* 4	Minus ** 20	= 0	X \$26 =	0	OR	X \$ =
	Independent <small>(37 CFR 1.16(h))</small>	* 1	Minus *** 3	= 0	X \$110 =	0	OR	X \$ =
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR	
					TOTAL ADD'L FEE	0	OR	TOTAL ADD'L FEE

	(Column 1)	(Column 2)	(Column 3)					
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	*	Minus **	=	X \$ =		OR	X \$ =
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus ***	=	X \$ =		OR	X \$ =
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR	
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".  
 The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

Legal Instrument Examiner:  
 /ROSALIND BALL/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**  
 If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/415,022	09/05/2003	Jeffrey Bruce McGeorge	CULLP0177US	1059
23908	7590	06/30/2009	EXAMINER	
RENNER OTTO BOISSELLE & SKLAR, LLP			COLBERT, ELLA	
1621 EUCLID AVENUE			ART UNIT	PAPER NUMBER
NINETEENTH FLOOR			3696	
CLEVELAND, OH 44115			MAIL DATE	DELIVERY MODE
			06/30/2009	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/415,022	<b>Applicant(s)</b> MCGEORGE, JEFFREY BRUCE	
	<b>Examiner</b> Ella Colbert	<b>Art Unit</b> 3696	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 26 January 2009.
- 2a)  This action is **FINAL**.
- 2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-4 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-4 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.  
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a)  All    b)  Some \*    c)  None of:
    - 1.  Certified copies of the priority documents have been received.
    - 2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    - 3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO/SB/08)  
 Paper No(s)/Mail Date \_\_\_\_\_.
- 4)  Interview Summary (PTO-413)  
 Paper No(s)/Mail Date. \_\_\_\_\_.
- 5)  Notice of Informal Patent Application
- 6)  Other: \_\_\_\_\_.

Art Unit: 3696

### **DETAILED ACTION**

1. Claims 1-4 are pending. Claims 1-3 have been amended in this communication filed 01/26/09 entered as Response After Non-Final Action and Request for Extension of Time.
2. The claim objections for claim 1 have been overcome by Applicants' amendment to the claim and are hereby withdrawn.
3. The 35 USC 112, First paragraph rejections still remain as set forth here below and addressed in the "Response to Arguments" section of this communication.
4. The 35 USC 112, Second paragraph rejections are withdrawn in part in view of the amendment to claim 1(b). The 35 USC 112, second paragraph rejection for claim 1(d) still remains as set forth here below.

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 1-4 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

The newly added amendments to claim 1 are not fully or sufficiently supported by Applicant's Specification (disclosure). For example, "receiving instructions from a user to specify stock market technical analysis criteria to be applied to the stock market data

Art Unit: 3696

relating to at least one stock to provide at least one user-specified technical analysis indicator value which signals the occurrence of a change in stock value significant to the user; ... stock market data in real-time to provide at least one calculated analysis indicator value based on the real-time stock market data; and ... the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market data occur, the real-time notification directed to a remote communication device of the user.”

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 1 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claim 1 as written is considered indefinite because the metes and bounds of claim limitation (d) cannot be determined.

“An essential purpose of patent examination is to fashion claims that are precise, clear, correct, and unambiguous. Only in this way can uncertainties of claim scope be removed ...”. *In re Zletz* 13 USPQ2d 1320 (Fed. Cir. 1989).

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

Art Unit: 3696

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-4 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 7,356,499) Amburn in view of (US 6,907,404) Li et al, hereafter Li.

As per claim 1. Amburn discloses, A method of Informing users of stock market events comprising the steps of: (a) receiving real-time stock market data on a network of computers (col. 3, lines 5-11); (b) receiving on the network of computers instructions from a user to specify stock market technical analysis criteria to be applied to the stock market data relating to at least one stock to provide at least one user-specified technical analysis indicator value which signals the occurrence of a change in stock value significant to the user (col. 4, lines 4-46 and col. 5, line 45- col. 6, line 24); (c) using the network of computers to apply the user -specified stock market technical analysis criteria to the real-time stock market data in real-time to provide at least one calculated technical analysis indicator value based on the real-time stock market data (col. 6, lines 26-64); and (d) causing a real-time notification by the network of computers to be provided to the user via the remote communications device upon occurrence of the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market data occur, the real-time notification directed to a remote communication device of the user (col. 3, lines 5-11, col. 4, lines 4-11,



Art Unit: 3696

and col. 7, lines 6-62). Li discloses, the definition of Technical Analysis in col. 1, lines 35-43- “Technical analysis is all about constructing investment charts and analyzing them to draw conclusions about an investment when to buy it and when to sell it.” It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate the teachings of Li in Amburn because such an incorporation would allow Amburn to analyze and plot investment prices, volumes and other indicators in a graph called an investment chart.

As per claim 2. Amburn failed to disclose, A method as claimed in claim 1, wherein receiving step (b) includes receiving instructions from the user to provide technical analysis criteria for specific stocks, and providing the requested technical analysis criteria for the specific stocks via the remote communications device. Li discloses, A method as claimed in claim 1, wherein receiving step (b) includes receiving instructions from the user to provide technical analysis criteria for specific stocks, and providing the requested technical analysis criteria for the specific stocks via the remote communications device (col. 1, line 44-col. 2, line 19 and lines 30-44- Background of the Invention). It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate the teachings of Li in Amburn because such an incorporation would allow Amburn to investment analysis indicators based on the market data of investments (e.g., moving averages (MA), relative strength indexes (RSI) K/D stochastic analysis, moving average convergence and divergence (MACD), Bollinger bands, and various indexes) which are the most popular indicators used to describe individual investments as well as

Art Unit: 3696

the market as a whole.

As per claim 3. Amburn failed to disclose, A method as claimed in claim 1 wherein the receiving step includes receiving instructions from the user to provide technical analysis criteria of overall stock market trends, and providing the requested technical analysis criteria of the overall stock market trends via the remote communications device. Li discloses, A method as claimed in claim 1 wherein the receiving step includes receiving instructions from the user to provide technical analysis criteria of overall stock market trends, and providing the requested technical analysis criteria of the overall stock market trends via the remote communications device (col. 5, lines 1-40). It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate the teachings of Li in Amburn because such an incorporation would allow Amburn to find an investment that shows a typical buy and sell pattern from the investment charts.

As per claim 4. Amburn discloses, A method as claimed in claim 1 wherein remote communications device comprises a users fixed or mobile telephone, a personal computing device, a facsimile or pager of the user (col. 4, lines 4-11).

*Although the Examiner has pointed out particular references contained in the prior art(s) of record in the body of this action, the specified citations are merely representative of the teachings in the art as applied to the specific limitations within the individual claim. Since other passages and figures may apply to the claimed invention as well, it is respectfully requested that the applicant, in preparing the response, to*

Art Unit: 3696

*consider fully the entire references as potentially teaching all of the claimed invention, as well as the context of the passage as taught by the prior arts or disclosed by the Examiner.*

### **Response to Arguments**

Applicant's arguments filed 01/26/09 have been fully considered but they are not persuasive.

Issue no. 1: Applicants' argue: support for the 35 USC 112 First Paragraph rejection for not being fully supported and enabled by the Specification can be found in the recited paragraphs of Applicant's published application has been considered but is not persuasive. Response: The Examiner disagrees that these paragraphs disclose the claim limitations in particular of claim 1. The only paragraphs that are remotely close to any of the claim limitations is the sending of a message to computers or mobile headsets. One of ordinary skill in the art would not interpret the claim limitations of claim 1 to read on these cited paragraphs. Applicant is respectfully requested to draft the claim language so that it is more closely to that which is in Applicant's Specification.

Although the claims are interpreted in light of the specification, limitations from the specification are not read into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993).

### **Conclusion**

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Langseth et al (US 7,181,417); Helweg (US 7,461,023)

Art Unit: 3696

Tanigawa, T., Kamijo, K., "stock price pattern matching system-dynamic programming neural networks approach".

Schmerken, I., "Technical charting lights up securities trading".

Byramj, H. M., "New product offers real-time technical analysis charting".

Nathaniel C. Nash, "Strategies for the Sophisticated".

George Johnson, "Sifting Hidden Market Patterns for Profit".

Applicant's arguments with respect to claims 1-4 have been considered but are moot in view of the new ground(s) of rejection.

### **Inquiries**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ella Colbert whose telephone number is 571-272-6741. The examiner can normally be reached on Monday, Tuesday, and Thursday, 5:30AM-3:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Dixon Thomas can be reached on 571-272-6803. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3696

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Ella Colbert/  
Primary Examiner, Art Unit 3696

June 29, 2009

<b>Notice of References Cited</b>	Application/Control No. 10/415,022	Applicant(s)/Patent Under Reexamination MCGEORGE, JEFFREY BRUCE	
	Examiner Ella Colbert	Art Unit 3696	Page 1 of 2

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-7,356,499	04-2008	Amburn, Dean	705/37
*	B US-7,181,417	02-2007	Langseth et al.	705/26
*	C US-7,461,023	12-2008	Helweg, Mark Web	705/37
	D US-			
	E US-			
	F US-			
	G US-			
	H US-			
	I US-			
	J US-			
	K US-			
	L US-			
	M US-			

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N				
	O				
	P				
	Q				
	R				
	S				
	T				

**NON-PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)				
	U	Tanigawa, T., Kamijo, K.; "Stock price pattern matching system-dynamic programming neural networks approach"; NEC Corp.; IEEE Int. Neural Network Soc.; 1992; Page 1.			
	V	Schmerken, I.; "Technical charting lights up securities trading"; Wall Street Computer Review, vol. 6, no. 9; June 1989; Page 1.			
	W	Byramji, H. M.; "New Product offers real-tim technical analysis charting"; Wall Street Computer Review"; vol. 4, no. 6; March 1987; Page 1.			
	X	Nathaniel C. Nash; "Strategies For The Sophisticated"; New York Times, Late City Final Edition ED, Col. 1; Sunday November 20, 1983; Pages 1-4.			

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

<b>Notice of References Cited</b>	Application/Control No. 10/415,022	Applicant(s)/Patent Under Reexamination MCGEORGE, JEFFREY BRUCE	
	Examiner Ella Colbert	Art Unit 3696	Page 2 of 2

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A US-			
	B US-			
	C US-			
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	K US-			
	L US-			
	M US-			

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N				
	O				
	P				
	Q				
	R				
	S				
	T				

**NON-PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)			
	U	George Johnson; "Sifting Hidden Market Patterns for Profit"; New York Times, Late Edition-Final ED, Col. 2; Monday, September 11, 1995; Pages 1-3.			
	V				
	W				
	X				

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

## WEST Search History for Application 10415022

Creation Date: 2009051114:49

Query	DB	Op.	Plur.	Thes.	Date
(real-time or realtime or real adj time) and stock adj market same data adj feed	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
analysis adj indicator with value	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and (analysis adj indicator with value )	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
(analysis adj indicator with value ) and 705/37	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
(analysis or analyze or analyses)near5 (indicator or trend) same value	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and ((analysis or analyze or analyses)near5 (indicator or trend) same value )	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
(analysis or analyze or analyses)near5 (indicator or trend) same (value or amount)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and ((analysis or analyze or analyses)near5 (indicator or trend) same (value or amount) )	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and 705/37	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj	PGPB, USPT,	OR	YES		09-02-2008



market same data adj feed and 705/37 ) and (analysis or analyzes)	USOC, EPAB, JPAB, DWPI, TDBD				
((real-time or realtime or real adj time) and stock adj market same data adj feed and 705/37 and (analysis or analyzes) ) and value	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
705/36	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
705/36r	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
trad\$ adj forecast\$	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
(chartist or technical with analysis or "technical analysis") and (stock with market or stock adj market)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		05-11-2009
((chartist or technical with analysis or "technical analysis") and (stock with market or stock adj market) ) and (real-time or real adj time)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		05-11-2009
((chartist or technical with analysis or "technical analysis") and (stock with market or stock adj market) and (real-time or real adj time) ) and (moving near averages or moving adj averages or "moving averages")	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		05-11-2009

## STIC Database Tracking Number:

**To: Ella Colbert**  
**Location: Knox 4A21**  
**Art Unit: 3696**  
**Date: May 12, 2009**  
**Case Serial Number: 10/415,022**

**From: Caryn Wesner-Early**  
**Location: EIC3600, Knox 4C29**  
**Phone: (571) 272-3543**  
**caryn.wesner-early@uspto.gov**

## Search Notes

Dear Examiner Colbert:

Please find attached the results of your Fast & Focused search for the above-referenced case. The search was conducted in files selected from the template.

Please remember that this is NOT a full-template search; if you need one, you'll have to request it separately.

I have listed references of *potential* interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you might find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

Caryn S. Wesner-Early, MSLS  
ASRC Technical Information Specialist  
EIC 3600, US Patent & Trademark Office  
Phone: (571) 272-3543  
Fax: (571) 273-0046  
caryn.wesner-early@uspto.gov

<b>I. REFERENCES OF POTENTIAL INTEREST .....</b>	<b>3</b>
Dialog.....	3
<b>II. TEXT SEARCH RESULTS FROM DI A LOG.....</b>	<b>9</b>
A. Patent Files, Abstract.....	9
B. Patent Files, Full-Text.....	17
<b>III. TEXT SEARCH RESULTS FROM DI A LOG .....</b>	<b>38</b>
A. NPL Files, Abstract .....	38
B. NPL Files, Full-text .....	56

## I. References of Potential Interest

Dialog

**11/ 3,K/ 2 (Item 2 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

03065481 NYT Sequence Number: 675995950911 (USE FORMAT 7 FOR FULLTEXT)

**Sifting Hidden Market Patterns for Profit**

GEORGE JOHNSON

New York Times, Late Edition - Final ED, COL 2, P 1

Monday September 11 1995

DOCUMENT TYPE: Newspaper; Biography LANGUAGE: English RECORD TYPE:  
Fulltext

Word Count: 1439

... bigger killing by using information technology to outsmart the  
glitziest casino of them all -- the **financial markets** .

...investment banks employ former physicists and mathematicians who try to  
apply scientific models to the **financial markets** .

A few end up at small boutique investment houses or consulting firms;  
others, like Dr...

... For years, hordes of investors called **technical analysts** have  
ignored the admonitions about efficient markets. Hoping to gauge investor  
sentiment, they scrutinize graphs of stock **prices** for telltale **patterns**  
with names like breakaway gap, double top, rounded bottom and the  
head-and-shoulder formation...

...trying to apply insights into the behavior of complex systems to the  
economy and the **financial markets** .

...harder to believe that all this information is reflected in the price at  
every possible **instant** ," he said. With powerful enough software, it might  
be possible to find neglected scraps.

...CAPTIONS: use computers to gain an edge at roulette and are now  
applying the techniques to **financial markets** . (Steve Northrup for The  
New York Times)

**11/ 3,K/ 22 (Item 22 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

00611607 NYT Sequence Number: 055227831120 (USE FORMAT 7 FOR FULLTEXT)

**STRATEGIES FOR THE SOPHISTICATED**

NATHANIEL C. NASH

New York Times, Late City Final Edition ED, COL 1, P 81

Sunday November 20 1983

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT12

Word Count: 1540

TEXT:

**STOCK market** technicians were once considered the eggheads of Wall Street. But no more. Those individuals who...

...that such exercises are not beyond their abilities - with some diligence.

In its simplest form, **technical analysis** uses historical and **current** data from the stock and **bond markets** to predict the long-term and short-term thrusts of stocks. Broad price- trend statistics...

... any hints at any change in that trend - they also apply similar techniques to perform **technical analysis** of individual stocks and stock groups.

But what baffles many beginners about the **chartists** ' ritual is that they pay no attention to the "fundamentals" of a stock - the strength...

...no one indicator or chart can be trusted implicitly to predict major changes in the **stock market** , nor can one afford to rely on only a handful of "favorite" technical indicators. When...

...and ratios. Many technicians regularly track as many as 100 such indicators.

A foray into **technical analysis** is not a 10-minute-a-week exercise.

... The technical indicators that track the ups and downs of the **stock market** are most frequently divided into three categories - breadth-momentum measurements, sentiment indicators and monetary signals...

...examination of the internal strength or weakness of the market by looking at trading volume **patterns** and **price** trends, "a kind of electrocardiogram of the market," said Mr. Yashewski. He noted that analysts compare an indicator as simple as trading volume on the New York **Stock Exchange** with the movement in the exchange's composite index and look for divergent trend lines...

...of weekly declines from the number of advances and plots that against a 50- week **moving average** of the same figures. When the weekly figure is above the 50-week **moving average** , it indicates a rising market, and vice versa.

...institute began tracking the index in 1941, when the weekly plots have been above the **moving average** , "we've been in a major bull market 91 percent of the time." When the plot has been below the **moving average** , he said, the market has been in a major bear phase 67 percent of the...

...A favorite index of Robert W. Colby, vice president and **technical analyst** at Smith Barney Harris Upham, is the ratio of short sales by the public to...

... Other sentiment indicators include short-interest ratios for the New York and American **Stock Exchanges**, which have been near historic highs lately and thus are very bullish signs and a 10-day **moving average** of Big Board odd-lot selling, which has been neutral recently.

MONETARY INDICATORS The monetary indicators are considered the weakest aspect of **technical analysis**. It is essentially the study of trends in interest rates and the prices of publicly...

...over the discount rate, the reserve requirement for its member banks and margin requirements on **stock trading** that the Fed sets for the brokerage industry.

**11/ 3,K/ 30 (Item 3 from file: 2)**  
DIALOG(R)File 2:INSPEC  
(c)2009 Institution of Engineering &Technology. All rts. reserv.

05421980

**Title: Stock price pattern matching system- dynamic programming neural networks approach**

**Author(s):** Tanigawa, T.; Kamijo, K.

**Author Affiliation:** NEC Corp., Kanagawa, Japan

**Inclusive Page Numbers:** 465-71 vol.2

**Publisher:** IEEE, New York, NY

**Country of Publication:** USA

**Publication Date:** 1992

**Conference Title:** IJCNN International Joint Conference on Neural Networks (Cat. No.92CH3114-6)

**Conference Date:** 7-11 June 1992

**Conference Location:** Baltimore, MD, USA

**Conference Sponsor:** IEEE Int. Neural Network Soc

**ISBN:** 0 7803 0559 0

**U.S. Copyright Clearance Center Code:** 0 7803 0559 0/92/\$3.00

**Item Identifier (DOI):** <http://dx.doi.org/10.1109/IJCNN.1992.226944>

**Number of Pages:** 4 vol. (xii+ 962+ xiii+ 1023+ xii+ 1006+ xi+ 868)

**Language:** English

**Subfile(s):** C (Computing & Control Engineering); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1993-022

**Copyright:** 1993, IEE

**Abstract:** The **dynamic** programming neural network (DNN). DNN is based on the integration of the neural and **dynamic** programming matching method

(DP-matching). In order to find patterns similar to a specified pattern ...

...bias is eliminated by a stock price normalization method and a neural network. A stock **price pattern** matching system using the DNN approach was developed on an NEC EWS4800 workstation. This system...

...graphical user interface on an X-Window system. A subjective evaluation was conducted. The stock **price patterns** which were classified by DNN were evaluated by three **chartists** (human experts). High correlation was found between the similarity by DNN and the evaluation by **chartists**. The proposed DNN system is able to match patterns, which **chartists** judge as similar patterns

**Descriptors:** **dynamic** programming; neural nets; pattern recognition; **stock markets**

**Identifiers:** **dynamic** programming neural networks; nonlinear **time** elasticity; stock **price** normalization; stock **price pattern** matching system; NEC EWS4800 workstation; graphical user interface; X-Window; **chartists**

11/ 3,K/ 31 (Item 4 from file: 2)

DIALOG(R)File 2:INSPEC

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04443772

**Title:** **Technical charting lights up** securities trading

**Author(s):** Schmerken, I.

**Journal:** Wall Street Computer Review, vol.6, no.9, pp.42-63

**Country of Publication:** USA

**Publication Date:** June 1989

**ISSN:** 0738-4343

**CODEN:** WSCRDQ

**Language:** English

**Subfile(s):** D (Information Technology for Business); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1989-019

**Copyright:** 1989, IEE

**Title:** **Technical charting lights up** securities trading

**Abstract:** From Wall Street to Main Street, new developments in **technical analysis** software make a once arcane financial specialty accessible to the professional investor. At one time considered a profession for fanatics with green eyeshades, **technical analysis** used to rely on technicians who collected massive amounts of data by hand to chart trading histories. Now they can subscribe to **real - time** services that update historical prices with fresh tick-by-tick data or reach back in time by supplying users with 25 years of price history. **Technical analysts** examine **chart patterns** to discern historical price and

volume trends. They believe history repeats itself. Several software packages...

**Descriptors:** buyer's guides; investment; **securities trading** ; software packages  
**Identifiers:** **securities trading** ; **technical analysis** software; software packages

**11/ 3,K/ 32 (Item 5 from file: 2)**

DIALOG(R)File 2:INSPEC

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03872322

**Title:** **New product offers** real - time technical analysis **charting**

**Author(s):** Byramji, H.M.

**Journal:** Wall Street Computer Review, vol.4, no.6, pp.20-6

**Country of Publication:** USA

**Publication Date:** March 1987

**ISSN:** 0738-4343

**CODEN:** WSCRDQ

**Language:** English

**Subfile(s):** C (Computing & Control Engineering); D (Information Technology for Business); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1987-011

**Copyright:** 1987, IEE

**Title:** **New product offers** real - time technical analysis **charting**

**Abstract:** **Technical analysis** is a proven way of predicting short-term price movements and is widely used by professional and individual investors ranging from portfolio managers to **commodity traders** . For those who need both daily and **real - time technical analysis** then the CTS Trend software package fits the bill. It is divided into modules, users...

...Charts module containing most of the commonly used indicators, including high/low/close bar charts, **moving averages** , point and figure, departure, ratio and spread charts. CTS Trend is menu driven and is...

**Descriptors:** **commodity trading** ; financial data processing; investment; **real - time** systems; software packages

**Identifiers:** **real - time technical analysis** charting; short-term price movements; investors; portfolio managers; **commodity traders** ; CTS Trend software package; Fundamental Charts module; high/low/close bar charts; **moving averages** ; menu driven

**14/ 3,K/ 3 (Item 3 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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00382045 87-40879



**On-Line Services That Give Some Traders an Edge/ How Club 3000 Members Rate On-Line Services**

Stein, Jon

Futures: The Magazine of Commodities & Options v16n11 PP: 59-63, 66 Nov 1987

ISSN: 0746-2468 JRNL CODE: CMM

ABSTRACT: Increased interest in the **futures markets** has resulted in the proliferation and consolidation of online, **real - time price** -quoting services. The most conventional methods of quote delivery consist of dedicated land lines, satellite...

...FM frequency, and microwave transmission. A developed price-quotation system includes: 1. hardware, 2. a **dynamic** database of prices, 3. software, and 4. an online news service. Some electronic online services...

...and System One from Commodity Quote-Graphics (CQG) and MarketVision. Information packages include Future-Source **Technical** , TeleTrac, CNS **Analyst** , MoneyCenter, Quotron 800, and Quotron 1000. Quotation services include Chart 100, Lotus Signal, WarMachine, TrendSetter...

## II. Text Search Results from Dialog

### A. Patent Files, Abstract

? show files;ds

File 347: JAPIO Dec 1976-2009/Jan(Updated 090503)

(c) 2009 JPO & JAPIO

File 350: Derwent WPIX 1963-2009/UD= 200928

(c) 2009 Thomson Reuters

File 371: French Patents 1961-2002/BOPI 200209

(c) 2002 INPI. All rts. reserv.

Set	Items	Description
S1	5088	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	5088	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S3	993	(REAL OR ACTUAL)()TIME OR REALTIME OR CURRENT OR (NO OR "NOT" OR WITHOUT OR WITH()OUT)()(DELAY OR WAIT??? OR PENDENCY OR LAG OR TIMELAG) OR INSTANT OR DYNAMIC OR LIVE OR ON(2W)(REQUEST OR DEMAND OR FLY)
S4	78	(MOVING OR ROLLING OR RUNNING)()(AVERAGE OR AVERAGES OR MEAN OR MEANS) OR (CHART OR CHARTS OR PRICE OR PRICES)(2N)(PATTERN OR PATTERNS) OR (AVERAGE OR MEAN OR PRICE)(2N)TIME OR TMA OR EMA OR SMA
S5	28	(STOCK? ? OR BOND? ? OR FINANCIAL OR INTERNATIONAL OR COMMODIT??? OR FUTURES OR CERTIFICATE? ? OR MONEY OR SECURIT??? OR FINANCIAL()PRODUCT? ? OR EQUIT???)()(MARKET OR MARKETS OR TRADING OR TRADER OR TRADERS OR EXCHANG?) OR NYSE OR AMEX OR NASDAQ
S6	180	S2(10N)S3
S7	1	S4(5N)S5
S8	0	S6(S)S7
S9	1	S2(S)S3(S)S4(S)S5
S10	5	S2 AND S3 AND S4 AND S5
S11	5	S9 OR S10
S12	5	IDPAT (sorted in duplicate/non-duplicate order)
S13	5	IDPAT (primary/non-duplicate records only)

**13/ AN,AZ,TI/ 1 (Item 1 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0014649941

**Trading indicator creating method for market traded financial instrument e.g. stock, involves applying mathematical algorithms to obtain scores for each evaluation volume per price bracket quantity, relative to population subsets**

**Original Titles:**

Computer Implemented Method and System of Trading Indicators Based on Price and Volume

Local Applications (No Type Date): US 2003249802 A 20030508

Priority Applications (no., kind, date): US 2003249802 A 20030508

**13/ AN,AZ,TI/ 2 (Item 2 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0012853670

**Stock investment timing management method involves determining confidence interval for security price by comparing probability distribution of historical stock security data with actual security price**

**Original Titles:**

Computerized method, process and service for stock investment timing

Local Applications (No Type Date): US 2000725112 A 20001129

Priority Applications (no., kind, date): US 2000725112 A 20001129

**13/ AN,AZ,TI/ 3 (Item 3 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0012694081

**System and method for automatically trading stocks, futures, and option according to condition using internet**

Local Applications (No Type Date): KR 200046335 A 20000810

Priority Applications (no., kind, date): KR 200046335 A 20000810

**13/ AN,AZ,TI/ 4 (Item 4 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0010840751

**Data processing system for computer implemented financial charting system, determines intra-market element processed for performing graphical display**

**as a chart with bars**

**Original Titles:**

System zum graphischen Darstellen von Aktivitäten auf dem finanziellen Markt

System for charting **financial market** activities

Systeme pour la representation graphique des activites du marche financier

Local Applications (No Type Date): EP 2000310672 A 20001201; CN

2000133198 A 20001025; KR 200077805 A 20001218; TW 2000108177 A

20000427; US 1999465336 A 19991217

Priority Applications (no., kind, date): US 1999465336 A 19991217; TW

2000108177 A 20000427

**13/ AN,AZ,TI/ 5 (Item 5 from file: 350)**

DIALOG(R)File 350:(c) 2009 Thomson Reuters. All rts. reserv.

0009567045

**Brand current price detection method for stock investment, exchange and goods transaction - involves carrying out time series classification of stored values, until extracted brand period results in current price**

**Original Titles:**

DETECTING DEVICE FOR BRAND WHOSE **CURRENT** PRICE REACHES EXTREMAL VALUE OF BRAND AND ITS USING METHOD

Device to detect stock names having the highest **current** value and its methods for use.

Local Applications (No Type Date): JP 1998319605 A 19981110; US

1999228896 A 19990111

Priority Applications (no., kind, date): JP 1997345684 A 19971110; JP

1998319605 A 19981110

**13/ 3,K/ 1 (Item 1 from file: 350)**  
DIALOG(R)File 350:Derwent WPIX  
(c) 2009 Thomson Reuters. All rts. reserv.

0014649941 - Drawing available  
WPI ACC NO: 2004-831960/200482  
XRPX Acc No: N2004-657359

**Trading indicator creating method for market traded financial instrument e.g. stock, involves applying mathematical algorithms to obtain scores for each evaluation volume per price bracket quantity, relative to population subsets**

Patent Assignee: CHURQUINA E E (CHUR-I)  
Inventor: CHURQUINA E E

**Patent Family** (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
US 20040225592	A1	20041111	US 2003249802	A	20030508	200482 B

Priority Applications (no., kind, date): US 2003249802 A 20030508

**Patent Details**

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20040225592	A1	EN	15	8		

**Alerting Abstract** ...actual price trend change direction and much sooner than other time-lagging tool such as **moving averages** . The method creates the indicators in **real - time** , thus allowing the traders to have an edge on other traders, to anticipate market movements...

**Original Publication Data by Authority**

**Argentina**

Assignee name & address:

**Original Abstracts:**

...and system for providing trading indicators for selected instruments traded in a market such as **stocks** , **currency** contracts, bonds, commodities contracts, options contracts, and futures contracts. The method and system create trading...

...and Sales data as provide by exchanges or financial data providers. The method comprise parsing **time** , **price** and volume of **individual** transactions into a collection of volume per **price** bracket per **time interval** quantities, wherein **each** quantity is an aggregate volume of transactions executed during one of a set of sequential...

...brackets. The method generate trading indicators by using mathematical algorithms to score individual volume per **price** bracket per **time**

**interval** quantities corresponding to an evaluation time interval against a population of individual volume per **price** bracket per **time interval** quantities corresponding to a set of previous time intervals. The system generates trading indicators in **real time**, without the **time lag** associated to traditional **technical analysis** indicators. The **method and** system can also generate trend indicators based on analysis of volume accumulation, and defines trading...

**Claims:**

< b> 1</b>. A computer implemented method for creating trading indicators for a **financial** instrument traded in a **market** comprising: a) having a set of sequential time intervals, and b) having a **set of price** brackets, wherein each price bracket is narrower than 1/5 of the estimated difference between...

...time interval of said set of sequential time intervals and executed at prices within one **price** bracket of said set of price brackets, and d) **selecting** an evaluation **time** interval from **said** set of sequential time intervals, and e) selecting one or more population subsets of said...

**13/ 3,K/ 2 (Item 2 from file: 350)**

DIALOG(R)File 350:Derwent WPIX  
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0012853670 - Drawing available  
WPI ACC NO: 2002-712364/200277  
XRPX Acc No: N2002-561915

**Stock investment timing management method involves determining confidence interval for security price by comparing probability distribution of historical stock security data with actual security price**

Patent Assignee: NARUMO T J (NARU-I)

Inventor: NARUMO T J

**Patent Family** (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
US 20020099636	A1	20020725	US 2000725112	A	20001129	200277 B

Priority Applications (no., kind, date): US 2000725112 A 20001129

**Patent Details**

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20020099636	A1	EN	14	6		

**Alerting Abstract** ...USE - For aiding stock investors in making decisions to buy, sell or hold securities of **stock market**, through internet.

...comparison of probability distribution of historical data with actual price data. Hence facilitates investors to **determine** a good **time** for

investing his stocks

## Original Publication Data by Authority

### Argentina

Assignee name & address:

#### Original Abstracts:

...investment timing. The process gathers price and volume data of listed firms from as many **stock markets** as implemented, **only condition** being that those markets price data are available over the Internet, in order to be...

...process. Analysing and calculation methods used within the process differ from those used in typical **technical stock analyses** in that the **invention** takes advantage of the known price history and uses statistical mathematics to categorize the **current** price to a **recommended** action: 'sell', 'buy' or 'hold', while the most famous technical analysing methods typically try to...

#### Claims:

#### 13/ 3,K/ 4 (Item 4 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2009 Thomson Reuters. All rts. reserv.

0010840751 - Drawing available

WPI ACC NO: 2001-458912/200150

XRPX Acc No: N2001-340235

**Data processing system for computer implemented financial charting system, determines intra-market element processed for performing graphical display as a chart with bars**

Patent Assignee: GOHEDGE ASSET MANAGEMENT LTD (GOHE-N); PROSTICKS.COM LTD (PROS-N); QIANKUNZHU CO LTD (QIAN-N)

Inventor: CHONG K F R; LI V C P; CHONG R

**Patent Family** (5 patents, 30 countries)

Patent		Application				
Number	Kind	Date	Number	Kind	Date	Update
EP 1109122	A2	20010620	EP 2000310672	A	20001201	200150 B
CN 1308301	A	20010815	CN 2000133198	A	20001025	200174 E
KR 2001067403	A	20010712	KR 200077805	A	20001218	200202 E
TW 494329	A	20020711	TW 2000108177	A	20000427	200332 NCE
US 7043449	B1	20060509	US 1999465336	A	19991217	200632 E

Priority Applications (no., kind, date): US 1999465336 A 19991217; TW 2000108177 A 20000427

#### Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
EP 1109122	A2	EN	31	19		

Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR  
IE IT LI LT LU LV MC MK NL PT RO SE SI TR  
TW 494329 A ZH

**Original Titles:**

...System for charting **financial market** activities...  
...Method for charting **financial market** activities

**Alerting Abstract** ...USE - Data processing system for computer implemented financial charting system for charting movements of **financial market** traded instruments, used by traders and analysts for predicting future price movements...

...relationships with usual OHLC. Enables to form new trading insights easily and to develop new **technical analysis** theories. Provides a new chart which resembles existing chart, so that traders who are used...

**Original Publication Data by Authority**

**Argentina**

Assignee name & address:

**Original Abstracts:**

A system for augmenting a conventional **price** -time chart used for **technical analysis** of securities **price movements** . A data processing system is provided to analyse the price activities of an instrument or commodity traded in a **market** . The system includes means for analysing trading activity and for calculating, for discrete pre-determined time intervals, data representing a respective high **price** and low price traded by the market during the associated time interval. There is also...

...intra market element being a price range with substantially high trading activities during the associated **time** interval, a **price range** with substantially **low** trading activities during the associated time interval, or a **price** interval with the highest trading activities. There are also provided means for processing the data...

...A method and apparatus for augmenting the conventional **price - time** chart used for **technical analysis** of securities **price movements** . In a preferred **embodiment** , **the** method takes a conventional Bar Chart or Japanese Candlestick Chart with a definite timeframe and...

...it statistically quantifies the volume and time distribution throughout the range of the bar into **discrete** elements, using **price** and volume data within the bar interval from a sub-timeframe. The discrete elements are...

...possible. The apparatus is an application software which implements the method by displaying the conventional **price - time** chart, calculating the



relevant elements and overlaying **the values** on the chart bars, either in a static or **real - time** market setting.

**Claims:**

...intra-market element being a price range with substantially high trading activities during the associated **time** interval, **a price** range with substantially low trading activities during the associated time interval, **or a price** interval with the highest trading activities, and in that means are provided for processing the...

...the price activities of a financial instrument traded in a financial instrument traded in a **financial market** in a given timeframe, comprising the steps of: (a) **plotting a** plurality of bars on a **price - time** chart by a processor wherein said **price - time** chart is a **two dimensional** chart, with the Y-coordinate representing **price and** X-coordinate representing time, with the X-axis divided into a predetermined plurality of discrete...

...amount of time equal to that of the given timeframe, each bar indicates at least **a high price** and a low price traded by the market during the associated **time interval** of the bar and each bar is vertically displayed on said chart;(b) employing with...

...from said frequency distribution, a modal point defined by the highest trading activities for a **price** in the **time** interval, and an extreme tail defined by a continuous price range containing substantially **low** trading activities **determined** by a second statistical range beyond said first range;(d) representing on a computer display...

...geometric figure onto said bar; and(e) displaying on a computer display device the overlaid **price - time** chart to the user.

B. Patent Files, Full-Text

? show files;ds

File 349:PCT FULLTEXT 1979-2009/UB= 20090507|UT= 20090430

(c) 2009 WIPO/Thomson

Set	Items	Description
S1	30312	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR - ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	30312	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR - ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S3	23754	(REAL OR ACTUAL)()TIME OR REALTIME OR CURRENT OR (NO OR "N-OT" OR WITHOUT OR WITH()OUT)()(DELAY OR WAIT??? OR PENDENCY OR LAG OR TIMELAG) OR INSTANT OR DYNAMIC OR LIVE OR ON(2W)(REQUEST OR DEMAND OR FLY)
S4	4077	(MOVING OR ROLLING OR RUNNING)()(AVERAGE OR AVERAGES OR MEAN OR MEANS) OR (CHART OR CHARTS OR PRICE OR PRICES)(2N)(PATTERN OR PATTERNS) OR (AVERAGE OR MEAN OR PRICE)(2N)TIME OR TMA OR EMA OR SMA
S5	505	(STOCK? ? OR BOND? ? OR FINANCIAL OR INTERNATIONAL OR COMMODIT??? OR FUTURES OR CERTIFICATE? ? OR MONEY OR SECURIT??? OR FINANCIAL()PRODUCT? ? OR EQUIT???)()(MARKET OR MARKETS OR TRADING OR TRADER OR TRADERS OR EXCHANG?) OR NYSE OR AMEX OR NASDAQ
S6	557	S2(10N)S3
S7	11	S4(5N)S5
S8	0	S6(S)S7
S9	7	S2(S)S3(S)S4(S)S5
S10	196	S2(F)S3(F)S4(F)S5
S11	14	S6(S)S10
S12	10	S7(S)S10
S13	29	S9 OR S11 OR S12
S14	27	S13 AND IC= (G06F OR G06Q)
S15	27	IDPAT (sorted in duplicate/non-duplicate order)
S16	27	IDPAT (primary/non-duplicate records only)

16/ AN,AZ,TI / 1

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01796361

**DATABASE SYSTEM AND METHOD FOR TRACKING GOODS  
SYSTEME DE BASE DE DONNEES ET PROCEDE POUR LE SUIVI DE BIENS**

Application: WO 2008US76194 20080912 (PCT/WO US2008076194)

**16/ AN,AZ,TI / 2**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01695991

**ANALYTIC PLATFORM  
PLATEFORME ANALYTIQUE**

Application: WO 2008US52187 20080128 (PCT/WO US2008052187)

**16/ AN,AZ,TI / 3**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01636067

**CHART BASED REAL TIME INVESTMENT MONITORING, ANALYZING, AND  
TRADING SYSTEM**

**SYSTEME DE SURVEILLANCE, D'ANALYSE, ET DE NEGOCIATION  
D'INVESTISSEMENTS EN TEMPS REEL A BASE DE CHARTES**

Application: WO 2006US35570 20060912 (PCT/WO US2006035570)

**16/ AN,AZ,TI / 4**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01580082

**RICH GRAPHICAL CONTROL INTERFACE FOR ALGORITHMIC TRADING ENGINE  
INTERFACE DE COMMANDE GRAPHIQUE RICHE POUR MOTEUR D'ECHANGE  
ALGORITHMIQUE**

Application: WO 2007US67528 20070426 (PCT/WO US2007067528)

**16/ AN,AZ,TI / 5**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01482280

**ENERGY AND CHEMICAL SPECIES UTILITY MANAGEMENT SYSTEM  
SYSTEME DE GESTION DE SERVICES, D'ESPECES CHIMIQUES ET D'ENERGIE**

Application: WO 2006US34565 20060905 (PCT/WO US2006034565)

**16/ AN,AZ,TI / 6**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01444822

**THRESHOLD TRADING METHOD  
PROCEDE DE COMMERCE PAR SEUIL**

Application: WO 2006US19473 20060519 (PCT/WO US2006019473)

**16/ AN,AZ,TI / 7**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01359708

**MARKET MOTION DETECTOR  
DETECTEUR DE MOUVEMENT DU MARCHÉ**

Application: WO 2005US35823 20051006 (PCT/WO US2005035823)

**16/ AN,AZ,TI / 8**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01350108

**PATTERN MATCHER  
DISPOSITIF DE MISE EN CORRESPONDANCE DE CONFIGURATIONS**

Application: WO 2005US32891 20050914 (PCT/WO US2005032891)

**16/ AN,AZ,TI / 9**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01297469

**APPARATUS, METHOD AND SYSTEM FOR A DESIGNING AND TRADING  
MACROECONOMIC INVESTMENT VIEWS  
APPAREIL, PROCEDE ET SYSTEME POUR LA CONCEPTION ET LE COMMERCE DE  
VUES D'INVESTISSEMENTS MACRO-ECONOMIQUES**

Application: WO 2005US12991 20050415 (PCT/WO US2005012991)

**16/ AN,AZ,TI / 10**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01246073

**MULTI-PLATFORM CAPABLE INFERENCE ENGINE AND UNIVERSAL GRAMMAR  
LANGUAGE ADAPTER FOR INTELLIGENT VOICE APPLICATION EXECUTION  
MOTEUR D'INFERENCE A CAPACITE MULTI-PLATEFORME ET ADAPTATEUR DE  
LANGAGE DE GRAMMAIRE UNIVERSELLE POUR L'EXECUTION D'APPLICATION  
VOCALE INTELLIGENTE**

Application: WO 2004US34271 20041015 (PCT/WO US2004034271)

**16/ AN,AZ,TI / 11**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01213391

**ENHANCED PARI MUTUEL WAGERING  
PARI DU TYPE PARI MUTUEL AMELIORE**

Application: WO 2004US25434 20040806 (PCT/WO US2004025434)

**16/ AN,AZ,TI / 12**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

01064881

**MARKETING OPTIMIZATION SYSTEM  
SYSTEME D'OPTIMISATION DU MARKETING**

Application: WO 2003US13394 20030430 (PCT/WO US03013394)

**16/ AN,AZ,TI / 13**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00994559

**DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND  
TRADING EXCHANGE THEREFOR  
OPTIONS NUMERIQUES A RETOURS AJUSTABLES BASEES SUR LA DEMANDE ET  
BOURSE D'ECHANGES COMMERCIAUX AFFERENTE**

Application: WO 2002US30309 20020909 (PCT/WO US02030309)

**16/ AN,AZ,TI / 14**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00970400

**SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR RISK-  
MINIMIZATION AND MUTUAL INSURANCE RELATIONS IN METEOROLOGY  
DEPENDENT ACTIVITIES  
SYSTEME, PROCEDE ET PROGICIEL DE LIMITATION DES RISQUES ET DE  
RELATIONS D'ASSURANCE MUTUELLE DANS DES ACTIVITES DEPENDANTES DE  
LA METEOROLOGIE**

Application: WO 2002IB1014 20020326 (PCT/WO IB0201014)

**16/ AN,AZ,TI / 15**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00934943

**ELECTRONIC BARTERING SYSTEM WITH FACILITATING TOOLS  
SYSTEME DE TROC ELECTRONIQUE A L'AI DE D'OUTILS FACILITANT LEDIT TROC**

Application: WO 2002US6129 20020226 (PCT/WO US0206129)

**16/ AN,AZ,TI / 16**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00886074

**VALUE YOUR HOME**

**ESTIMEZ VOTRE MAISON**

Application: WO 2001US26935 20010828 (PCT/WO US0126935)

**16/ AN,AZ,TI / 17**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00877767

**SYSTEM AND METHOD FOR PRODUCT PRICE TRACKING AND ANALYSIS**

**SYSTEME ET PROCEDE DE PISTAGE ET D'ANALYSE DE PRIX DE PRODUITS**

Application: WO 2001US23375 20010725 (PCT/WO US0123375)

**16/ AN,AZ,TI / 18**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00860460

**MOLECULAR DATABASE FOR ANTI BODY CHARACTERIZATION**

**BASE DE DONNEES MOLECULAIRE POUR LA CARACTERISATION D'ANTI CORPS**

Application: WO 2001US9908 20010328 (PCT/WO US0109908)

**16/ AN,AZ,TI / 19**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00839924

**PRICE CHARTING SYSTEM AND TECHNIQUE**

**SYSTEME ET TECHNIQUE D'ELABORATION DE GRAPHIQUES DE COURS**

Application: WO 2001US9211 20010323 (PCT/WO US0109211)

**16/ AN,AZ,TI / 20**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00828037

**SYSTEM AND METHOD FOR CREATING, DISTRIBUTING AND MANAGING**

**ARTIFICIAL AGENTS**

**SYSTEME ET METHODE PERMETTANT DE CREER, DE DISTRIBUER ET DE GERER  
DES AGENTS ARTIFICIELS**

Application: WO 2001IB197 20010215 (PCT/WO IB0100197)

**16/ AN,AZ,TI / 21**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00784139

**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A SELF-DESCRIBING  
STREAM IN A COMMUNICATION SERVICES PATTERNS ENVIRONMENT  
SYSTEME, PROCEDE ET ARTICLE DE FABRICATION DESTINES A UN FLUX  
D'AUTODESCRIPTEURS DANS UN ENVIRONNEMENT DE MODELES DE  
SERVICES DE COMMUNICATION**

Application: WO 2000US23999 20000831 (PCT/WO US0023999)

**16/ AN,AZ,TI / 22**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00784137

**SYSTEM, METHOD, AND ARTICLE OF MANUFACTURE FOR DISTRIBUTED  
GARBAGE COLLECTION IN ENVIRONMENT SERVICES PATTERNS  
SYSTEME, PROCEDE ET ARTICLE DE FABRICATION EN MATIERE DE  
RECUPERATION D'ESPACE REPARTI DANS DES MOTIFS DE SERVICES  
D'ENVIRONNEMENT**

Application: WO 2000US24238 20000831 (PCT/WO US0024238)

**16/ AN,AZ,TI / 23**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00784119

**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A REFRESHABLE  
PROXY POOL IN A COMMUNICATION ENVIRONMENT  
SYSTEME, PROCEDE ET ARTICLE POUR GROUPE D'ELEMENTS MANDATAIRES  
(PROXY) RAFRAICHISSABLES DANS UN ENVIRONNEMENT A CONFIGURATIONS  
DE SERVICES DE COMMUNICATION**

Application: WO 2000US24113 20000831 (PCT/WO US0024113)

**16/ AN,AZ,TI / 24**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00781912

**SECURITY AND MARKET MAKER ANALYSIS SYSTEM  
SYSTEME D'ANALYSE DE TITRES POUR TENEURS DE MARCHES**

Application: WO 2000US23152 20000823 (PCT/WO US0023152)

**16/ AN,AZ,TI / 25**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00737987

**GLOBALLY TIME-SYNCHRONIZED SYSTEMS, DEVICES AND METHODS  
SYSTEMES GLOBALEMENT SYNCHRONISES DANS LE TEMPS**

Application: WO 2000US5093 20000228 (PCT/WO US0005093)

Parent Application/Grant:

Related by Continuation to: US Not furnished (CIP)

**16/ AN,AZ,TI / 26**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00579179

**ALLOCATION SYSTEMS  
SYSTEMES D'ATTRIBUTION**

Application: WO 2000US634 20000111 (PCT/WO US0000634)

**16/ AN,AZ,TI / 27**

DIALOG(R)File 349:(c) 2009 WIPO/Thomson. All rts. reserv.

00569839

**A MULTI-FACTOR STOCK SELECTION SYSTEM AND THE METHOD THEREFOR  
UN SYSTEME DE SELECTION D'ACTIONS MULTIFACTORIEL ET PROCEDE ASSOCIE**

Application: WO 98CN283 19981201 (PCT/WO CN9800283)



16/ 3,K/ 2

DIALOG(R) File 349:PCT FULLTEXT  
(c) 2009 WIPO/Thomson. All rts. reserv.

01695991 \*\*Image available\*\*

**ANALYTIC PLATFORM  
PLATEFORME ANALYTIQUE**

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200892147 A9 20080731 (WO 0892147)

Application: WO 2008US52187 20080128 (PCT/WO US2008052187)

Priority Application: US 2007886798 20070126; US 2007886801 20070126; US  
2007887573 20070131; US 2007891508 20070224; US 2007891936 20070227; US  
2007952898 20070731

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+ )  
AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE  
DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE

KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ  
NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM  
TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC  
MT NL NO PL PT RO SE SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English  
Filing Language: English  
Fulltext Word Count: 182219

International Patent Class (v8 + Attributes)  
IPC + Level Value Position Status Version Action Source Office:  
**G06F-0017/ 30 ...**

Fulltext Availability:  
Detailed Description  
Claims

#### Detailed Description

... with any third party to be shared into the platform 100 framework. In  
embodiments, the **security** 152 and granting matrix 154 facilities of the  
MDMH may be the same or similar...projection fact table). The projected  
facts table (projectedf act) contains projected facts stored keyed by  
**time** , item, and venue group. The projected facts table may contain  
projected sales (projectedf act. pro...

...venue

dim

key , item

dim. attrl

key, sum (projectedfact .projectedsales) FROM projectedf act, item

dim, **time**

dim WHERE ( // 13 weeks of data (time

dim.qtr

key = 1124 8 ) // break out the...are met by their favorite brand within  
a category, or some other type of CRM **analysis** .

[00488] Scorecarding loyalty analytic solutions may include product key  
performance indicators (KPI) addressing what are...

**16/ 3,K/ 3**

DIALOG(R)File 349:PCT FULLTEXT  
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01636067

**CHART BASED REAL TIME INVESTMENT MONITORING, ANALYZING, AND  
TRADING SYSTEM**

**SYSTEME DE SURVEILLANCE, D'ANALYSE, ET DE NEGOCIATION  
D'INVESTISSEMENTS EN TEMPS REEL A BASE DE CHARTES**

Patent Applicant/Inventor:

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Legal Representative:

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Park Center Road, Suite 122, Herndon, VA 20171, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200833129 A1 20080320 (WO 0833129)

Application: WO 2006US35570 20060912 (PCT/WO US2006035570)

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HN HR HU ID IL IN IS JP KE KG KM KN KP  
KR KZ LA LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MY MZ NA NG NI NO  
NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ  
UA UG US UZ VC VN ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 9465

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/00 ...**

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... and analyze many investments at the same time and quickly make sound  
investment decisions in **real - time** .

[008] Investors using **technical analysis** to make investment decisions  
usually read two kinds of charts. One is the daily investment...

**16/ 3,K/ 4**

DIALOG(R)File 349:PCT FULLTEXT

(c) 2009 WIPO/Thomson. All rts. reserv.

01580082 \*\* Image available\*\*

**RI CH GRAPHI CAL CONTROL I NTERFACE FOR ALGORI THMI C TRADI NG ENGI NE**

**INTERFACE DE COMMANDE GRAPHIQUE RICHE POUR MOTEUR D'ECHANGE ALGORITHMIQUE**

**Patent Applicant/Assignee:**

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**Patent Applicant/Inventor:**

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**Patent and Priority Information (Country, Number, Date):**

Patent: WO 2007127857 A2-A3 20071108 (WO 07127857)

Application: WO 2007US67528 20070426 (PCT/WO US2007067528)

Priority Application: US 2006795646 20060428; US 2007783251 20070406; US 2007783254 20070406; US 2007783250 20070406; US 2007783253 20070406; US 2007783252 20070406

**Designated States:**

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC MT NL PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 26432

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/00 ...**

**G06F-0003/00 ...**

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... the tactics employed by its algorithms, in one embodiment the subject system first determines the **current** value of a technical price momentum indicator using **technical analysis** algorithms well known to those skilled in the art. It then looks up in a...

...database the historical average participation rate achieved when the momentum was within 5% of the **current** value.

**16/ 3,K/ 6**

DIALOG(R)File 349:PCT FULLTEXT  
(c) 2009 WIPO/Thomson. All rts. reserv.

01444822 \*\*Image available\*\*

**THRESHOLD TRADING METHOD  
PROCEDE DE COMMERCE PAR SEUI L**

Patent Applicant/Assignee:

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LUCAS Shawn Thomas, 175 North Main, Pleasant Grove, UT 84062, US, US (Residence), US (Nationality),

VANDER WERFF Fred Dowie Jr, 279 South 230 East, Oren, UT 84058, US, US (Residence), US (Nationality),

Legal Representative:

CHIABOTTI Peter A (agent), Akerman Senterfitt, P.O. Box 3188, West Palm Beach, FL 33402-3188, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 2006127469 A2-A3 20061130 (WO 06127469)

Application: WO 2006US19473 20060519 (PCT/WO US2006019473)

Priority Application: US 2005134151 20050520

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM  
Publication Language: English  
Filing Language: English  
Fulltext Word Count: 6074

International Patent Class (v8 + Attributes)  
IPC + Level Value Position Status Version Action Source Office:

**G06Q-0030/00** ...  
...US

**G06Q-0040/00** ...

Fulltext Availability:  
Detailed Description  
Claims

#### Detailed Description

... there are also many challenges for the investor associated with what is generally known as **technical analysis**, the discipline of forecasting future price based on the study of **current** market action. **Technical analysis** typically will consider all **current** economic, fundamental, psychological, political, and any further prevailing market influences.

...as used herein, is the discipline of forecasting future price based on the study of **current** market action. One basic tenet of this **technical analysis** is\* the efficient market theory: "Everything known about a company is reflected in the **current** market price". **Technical analysis** considers all **current** economic, fundamental, psychological, political, and any other prevailing market influences.

[0055] Trend direction gives us a first tool in **technical analysis**: the trendline. A trendline is a graphical representation of a **current** trend. While there is no "right" way to draw a trendline, because it is a...

**16/3,K/7**

DIALOG(R)File 349:PCT FULLTEXT  
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01359708 \*\* Image available\*\*

#### **MARKET MOTION DETECTOR DETECTEUR DE MOUVEMENT DU MARCHE**

Patent Applicant/Assignee:

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Patent Applicant/Inventor:

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US (Nationality),

Legal Representative:

VICK Jason (agent), Miles & Stockbridge P.C., 1751 Pinnacle Dr., Suite  
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Patent and Priority Information (Country, Number, Date):

Patent: WO 200641918 A2-A3 20060420 (WO 0641918)

Application: WO 2005US35823 20051006 (PCT/WO US2005035823)

Priority Application: US 2004616220 20041007

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+ )

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH  
PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN  
YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 5455

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/00** ...

Fulltext Availability:

Detailed Description

Claims

Detailed Description

Description of Related Art

[00031 **Technical analysis** of the market is the examination and study of price movements in an attempt to guess future price movement. This guess can be based on historical and/or a **real - time** view of **price** fluctuations. **Technical analysts** are sometimes referred to "**chartists**" because they typically rely on charts and graphical information for analysis and market predictions. **Technical analysis** is usually applied to stocks, bonds, commodities, futures, or in general any tradable instrument where there are price fluctuations. This **technical analysis** is usually limited to a time frame, although the time frame can be anything from...

**16/3,K/8**

DIALOG(R)File 349:PCT FULLTEXT

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01350108 \*\* Image available\*\*

**PATTERN MATCHER**

**DISPOSITIF DE MISE EN CORRESPONDANCE DE CONFIGURATIONS**

Patent Applicant/Assignee:

AMERITRADE IP COMPANY INC, 4211 S. 102nd Street, Omaha, NE 68127, US, US  
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

BOGLAEV Yuri, 8030 Pennington Dr., Laurel, MD 20724, US, US (Residence),  
US (Nationality), (Designated only for: US)

Legal Representative:

VICK Jason (agent), Miles & Stockbridge P.C., 1751 Pinnacle Dr., Suite  
500, McLean, VA 22102, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200631952 A2-A3 20060323 (WO 0631952)

Application: WO 2005US32891 20050914 (PCT/WO US2005032891)

Priority Application: US 2004609258 20040914

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH PL  
PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU  
ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 6429

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/00** ...

**G06F-0015/00** ...

Fulltext Availability:

Detailed Description

Claims

Detailed Description

Description of Related Art

[0003] **Technical analysis** of the market is the examination and study of price movements to guess future price movements. This guess can be based on a historical and/or a **real - time** view of **price** movements.

**Technical Analysts** are sometimes referred to as "**Chartists**" because they typically rely on charts for analysis and market predictions.



**Technical analysis** is usually applied to stocks, bonds, commodities, futures, or in general any tradable instrument where there are price fluctuations. This **technical analysis** is usually limited to a time frame, although this time frame can be anything from...

**16/ 3,K/ 9**

DIALOG(R)File 349:PCT FULLTEXT  
(c) 2009 WIPO/Thomson. All rts. reserv.

01297469 \*\*Image available\*\*

**APPARATUS, METHOD AND SYSTEM FOR A DESIGNING AND TRADING  
MACROECONOMIC INVESTMENT VIEWS  
APPAREIL, PROCEDE ET SYSTEME POUR LA CONCEPTION ET LE COMMERCE DE  
VUES D'INVESTISSEMENTS MACRO-ECONOMIQUES**

Patent Applicant/Assignee:

GOLDMAN SACHS & CO, One New York Plaza, 37th Floor, New York, NY 10004,  
US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

STRONGIN II Steven Harris, 245 East 93rd Street, Apt. 24G, New York, NY  
10128, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

SHERIDAN Daniel C (agent), Morgan & Finnegan, 3 World Financial Center,  
New York, NY 10281, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 2005101996 A2-A3 20051103 (WO 05101996)  
Application: WO 2005US12991 20050415 (PCT/WO US2005012991)  
Priority Application: US 2004562818 20040416

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+ )  
AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT  
RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA  
ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU MC NL PL  
PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 43583

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

**G06Q-0040/ 00 ...**

Fulltext Availability:

Detailed Description  
Claims

Detailed Description

... point in time estimate. This forecast basis is supported by the earlier observation that the **equity market** prices the incremental shifts in **average** expectations over **time** rather than fundamentals at some specific point in time. The idea in such an embodiment...

**16/ 3,K/ 12**

DIALOG(R) File 349:PCT FULLTEXT  
(c) 2009 WIPO/Thomson. All rts. reserv.

01064881 \*\*Image available\*\*

**MARKETING OPTIMIZATION SYSTEM**  
**SYSTEME D'OPTIMISATION DU MARKETING**

Patent Applicant/Assignee:

VERIDIEM INC, One Clock Tower Place # 200, Maynard, MA 01754, US, US  
(Residence), US (Nationality)

Inventor(s):

PHELAN William L, 6 Joseph Reed Lane, Acton, MA 01720, US,  
WELLS John C, 8 Dickson Lane, Weston, MA 02493, US,  
PEDERSEN Ellen, 46 Vine Brook Road, Medfield, MA 02052, US,  
HACKNEY Michael L J, 124 Riverbend Drive, Groton, MA 01450, US,  
PEO Carol R, 111 Old Bolton Road, Stow, MA 01775, US,  
REAGEN Jeffrey Q, 22 Cadman Drive, Mendon, MA 01756, US,  
SKRZYPCZAK Michael P, 4 McKay Road, Hopkinton, MA 01748, US,

Legal Representative:

ABRAMSON Andrew F (agent), Testa, Hurwitz & Thibeault, LLP, High Street  
Tower, 125 High Street, Boston, MA 02110, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200393930 A2-A3 20031113 (WO 0393930)  
Application: WO 2003US13394 20030430 (PCT/WO US03013394)  
Priority Application: US 2002376495 20020430

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)  
AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NI NO NZ OM PH PL PT RO RU SC SD SE  
SG SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT RO SE  
SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 15001

Main International Patent Class (v7): **G06F-017/ 60**

Fulltext Availability:

Detailed Description

Detailed Description

... For example, if the model included terms for television advertising, print advertising, trade promotion, and **NASDAQ 3 -Day Moving Average**, the marketing simulator 3 16 projects the values for each of these terms over a...

**16/ 3,K/ 17**

DIALOG(R)File 349:PCT FULLTEXT

(c) 2009 WIPO/Thomson. All rts. reserv.

00877767

**SYSTEM AND METHOD FOR PRODUCT PRICE TRACKING AND ANALYSIS  
SYSTEME ET PROCEDE DE PISTAGE ET D'ANALYSE DE PRIX DE PRODUITS**

Patent Applicant/Assignee:

ZILLIANT INC, 3103 Bee Caves Road, Suite 200, Austin, TX 78746, US, US  
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

ULFERTS Mark Lynn, 10006 Sausalito Drive, Austin, TX 78759, US, US  
(Residence), US (Nationality), (Designated only for: US)

CHIEN Yung-Hsin, 5913 Salcon Cliff Drive, Austin, TX 78749, US, US  
(Residence), (Designated only for: US)

Legal Representative:

DINOVO Andrew G (agent), Vinson & Elkins, LLP, 2300 First City Tower,  
1001 Fannin, Houston, TX 77002-6760, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200210961 A2 20020207 (WO 0210961)

Application: WO 2001US23375 20010725 (PCT/WO US0123375)

Priority Application: US 2000625096 20000725

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)  
AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL  
TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 12180

Main International Patent Class (v7): **G06F-017/ 00**

Fulltext Availability:

Detailed Description

Detailed Description

The **Dynamic** Price Manager 50 provides detailed **statistical analyses** of the price and promotion-related tests as outputs in charts, graphs, as well as...

**16/ 3,K/ 19**

DIALOG(R)File 349:PCT FULLTEXT

(c) 2009 WIPO/Thomson. All rts. reserv.

00839924 \*\*Image available\*\*

**PRICE CHARTING SYSTEM AND TECHNIQUE**

**SYSTEME ET TECHNIQUE D'ELABORATION DE GRAPHIQUES DE COURS**

Patent Applicant/Inventor:

HELWEG Mark Web, 5481 Cove Circle, Naples, FL 34119, US, US (Residence),  
US (Nationality)

Legal Representative:

OLDHAM Scott M (et al) (agent), Oldham & Oldham CO., L.P.A., Twin Oaks  
Estate, 1225 West Market Street, Akron, OH 44313-7188, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200173589 A2 20011004 (WO 0173589)

Application: WO 2001US9211 20010323 (PCT/WO US0109211)

Priority Application: US 2000536328 20000324

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
ES FI GB GD GE GH GM HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU  
LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR  
TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 17588

Main International Patent Class (v7): **G06F-017/ 60**

Fulltext Availability:

Detailed Description

Detailed Description

9) With the power of computers to track literally hundreds of stocks, bonds, or **futures markets** at a **time** , **Price Action Profile**<sup>Tm</sup> and **Value Chart**<sup>STM</sup> can be used to track the overbought or oversold level...

**16/ 3,K/ 24**

DIALOG(R)File 349:PCT FULLTEXT  
(c) 2009 WIPO/Thomson. All rts. reserv.

00781912

**SECURITY AND MARKET MAKER ANALYSIS SYSTEM**  
**SYSTEME D'ANALYSE DE TITRES POUR TENEURS DE MARCHES**

Patent Applicant/Assignee:

WINDOW ON WALLSTREET INC, 1820 N. Glenville, Suite 100, Richardson, TX  
75280, US, US (Residence), US (Nationality)

Inventor(s):

BLACK T Keith, 5208 Glen Vista, Garland, TX 75044, US,  
JENNINGS John R, 1806 Dover, Rowlett, TX 75088, US,  
DHINGRA Ramesh, 9201 Westpark Drive, Garland, TX 75231, US,

Legal Representative:

VAN DYKE Raymond (agent), Jenkins & Gilchrist, P.C., Suite 3200, 1445  
Ross Avenue, Dallas, TX 75202-2799, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200115046 A2 20010301 (WO 0115046)  
Application: WO 2000US23152 20000823 (PCT/WO US0023152)  
Priority Application: US 99379558 19990823

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AT (utility model) AU AZ BA BB BG BR BY BZ CA CH CN CR CU  
CZ DE DE (utility model) DK DK (utility model) DM DZ EE EE (utility  
model) ES FI FI (utility model) GB GD GE GH GM HR HU ID IL IN IS JP KE KG  
KP KR KR (utility model) KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ  
NO NZ PL PT RO RU SD SE SG SI SK SK (utility model) SL TJ TM TR TT TZ UA  
UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 12480

Main International Patent Class (v7): **G06F-017/ 60**

Fulltext Availability:

Detailed Description

Detailed Description

... EPS statements preceded a sharp rise in stock price for the following, i.e., **current** , year. Even though **statistical analysis** of fundamental data yields strong correlations, i.e. , a quite reliable indicator, the data is...the tools set forth in the present invention may also be used in more advanced **technical analyses** , e.g., indicators and systems, which examine and analyze **current** Level I and Level II data, as well as older, "historical" saved data over an...

...and even seconds, as well as portions or aggregates thereof. Using the techniques of the **instant** invention, mathematical operations or techniques, e.g. I indicators and systems, may be applied on **current** and saved Level I and II data together or Level II data alone tick-by...

...on computer screen 88 in FIGURE 5. As discussed, the analysis may be performed on **current** Level II data either alone or in conjunction with saved Level II data and **current** and/or saved Level I data in the pertinent time sequence, e.g., the display...

### III. Text Search Results from Dialog

#### A. NPL Files, Abstract

? show files;ds

- File 471:New York Times Fulltext 1980-2009/May 12  
(c) 2009 The New York Times
- File 139:EconLit 1969-2009/Apr  
(c) 2009 American Economic Association
- File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
(c) 2002 Gale/Cengage
- File 474:New York Times Abs 1969-2009/May 12  
(c) 2009 The New York Times
- File 475:Wall Street Journal Abs 1973-2009/May 12  
(c) 2009 The New York Times
- File 35:Dissertation Abs Online 1861-2009/Apr  
(c) 2009 ProQuest Info&Learning
- File 65:Inside Conferences 1993-2009/May 12  
(c) 2009 BLDSC all rts. reserv.
- File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Apr  
(c) 2009 The HW Wilson Co.
- File 2:INSPEC 1898-2009/May W1  
(c)2009 Institution of Engineering &Technology

Set	Items	Description
S1	144168	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	144168	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S3	14963	(REAL OR ACTUAL)()TIME OR REALTIME OR CURRENT OR (NO OR "NOT" OR WITHOUT OR WITH()OUT)()(DELAY OR WAIT??? OR PENDENCY OR LAG OR TIMELAG) OR INSTANT OR DYNAMIC OR LIVE OR ON(2W)(REQUEST OR DEMAND OR FLY)
S4	1876	(MOVING OR ROLLING OR RUNNING)()(AVERAGE OR AVERAGES OR MEAN OR MEANS) OR (CHART OR CHARTS OR PRICE OR PRICES)(2N)(PATTERN OR PATTERNS) OR (AVERAGE OR MEAN OR PRICE)(2N)TIME OR TMA OR EMA OR SMA
S5	2528	(STOCK? ? OR BOND? ? OR FINANCIAL OR INTERNATIONAL OR COMMODIT??? OR FUTURES OR CERTIFICATE? ? OR MONEY OR SECURIT??? OR

FINANCIAL() PRODUCT? ? OR EQUIT???)() (MARKET OR MARKETS OR TRADING OR TRADER OR TRADERS OR EXCHANG?) OR NYSE OR AMEX OR NASDAQ

S6 2665 S2(10N)S3  
S7 42 S4(5N)S5  
S8 4 S6(S)S7  
S9 48 S2 AND S3 AND S4 AND S5  
S10 33 S9 NOT (PY>2000 OR PD=20001028:20001231)  
S11 32 RD (unique items)

**11/6/1 (Item 1 from file: 471)**

03814114 272086980809

**INVESTING IT: THE SUMMER SWOON -- THE TECHNICIANS; Chart Readers See Little Promise of a Rally**

Sunday August 9 1998

Word Count: 1033

**11/6/2 (Item 2 from file: 471)**

03065481 675995950911

**Sifting Hidden Market Patterns for Profit**

Monday September 11 1995

Word Count: 1439

**11/6/3 (Item 3 from file: 471)**

02883801 897582941123

**Dow Plunges 91.52 As High Rates Lure Investors to Bonds**

Wednesday November 23 1994

Word Count: 1116

**11/6/4 (Item 4 from file: 471)**

02253453 451525901202

**Technology; Going It Alone, Bit by Bit**

Sunday December 2 1990

Word Count: 3251

**11/6/5 (Item 5 from file: 471)**

02221952 928976910407

**All About/ Wall Street Technology; Wall Street's Cutbacks Sidestep Fat Budgets for High-Tech Trading**

Sunday April 7 1991

Word Count: 1658

**11/6/6 (Item 6 from file: 471)**



02064552 042898900820

**Market Place; Havens Are Scarce in Current Slide**

Monday August 20 1990

Word Count: 1082

**11/6/7 (Item 7 from file: 471)**

01866982 120715890812

**Your Money; Is Small Investor Late for the Rally?**

Saturday August 12 1989

Word Count: 784

**11/6/8 (Item 8 from file: 471)**

01806463 114199890123

**CREDIT MARKETS; Rates Expected to Remain Steady**

Monday January 23 1989

Word Count: 919

**11/6/9 (Item 9 from file: 471)**

01665474 178521880803

**Market Place; Which Strategist Do You Listen To?**

Wednesday August 3 1988

Word Count: 844

**11/6/10 (Item 10 from file: 471)**

01621492 017185880311

**CREDIT MARKETS; U.S. Bonds Fall a Bit in Light Day**

Friday March 11 1988

Word Count: 933

**11/6/11 (Item 11 from file: 471)**

01607192 136256880125

**CREDIT MARKETS; Forecasts Favoring Lower Rates**

Monday January 25 1988

Word Count: 727

**11/6/12 (Item 12 from file: 471)**

01500013 215657871122

**When Chaos Rules the Market**

Sunday November 22 1987

Word Count: 4008

**11/6/13 (Item 13 from file: 471)**

01282098 250932860414

**MARKET PLACE; Technical Data Signal Danger**

Monday April 14 1986

Word Count: 787

**11/6/14 (Item 14 from file: 471)**

01235724 075502860909

**CREDIT MARKETS; INTEREST RATES INCREASE AGAIN**

Tuesday September 9 1986

Word Count: 776

**11/6/15 (Item 15 from file: 471)**

01090905 226819851215

**INVESTING; THE 'ELVES' OF WALL STREET ARE STILL BULLISH**

Sunday December 15 1985

Word Count: 976

**11/6/16 (Item 16 from file: 471)**

01067185 250169850519

**SELECTIVE OPTIMISM ON STOCKS**

Sunday May 19 1985

Word Count: 5410

**11/6/17 (Item 17 from file: 471)**

00899001 260935840221

**CREDIT MARKETS; INVESTORS SHUN U.S. DEBT ISSUES**

Tuesday February 21 1984

Word Count: 736

**11/6/18 (Item 18 from file: 471)**

00871902 189361840514

**Market Place; Chartist Sees Summer Rally**

Monday May 14 1984

Word Count: 646

**11/6/19 (Item 19 from file: 471)**

00804042 155051841216

**INVESTING; THE COLLISION OF BULLS AND BEARS**

Sunday December 16 1984

Word Count: 1227

**11/6/20 (Item 20 from file: 471)**  
00660400 237784830617  
**Market Place; Elliott Wave Is Superbullish**  
Friday June 17 1983  
Word Count: 856

**11/6/21 (Item 21 from file: 471)**  
00654168 026664830711  
**Market Place; Rate Fear and Earnings**  
Monday July 11 1983  
Word Count: 816

**11/6/22 (Item 22 from file: 471)**  
00611607 055227831120  
**STRATEGIES FOR THE SOPHISTICATED**  
Sunday November 20 1983  
Word Count: 1540

**11/6/23 (Item 23 from file: 471)**  
00466161 149032820127  
**BOOKS OF THE TIMES; Books Of The Times**  
Wednesday January 27 1982  
Word Count: 980

**11/6/24 (Item 24 from file: 471)**  
00283822 043975810317  
**DOW ADDS 17.02, ENDS AT 1,002.79**  
Tuesday March 17 1981  
Word Count: 780

**11/6/25 (Item 1 from file: 583)**  
09171297  
MG launches first Internet metals trade service  
UK: FIRST INTERNET METALS TRADE SERVICE LAUNCHED  
05 Oct 1999

**11/6/26 (Item 1 from file: 35)**  
01795169 ORDER NO: AADAA-19935167  
**STOCK PRICE, VOLATILITY AND VOLUME: THE PROFITABILITY OF TECHNICAL  
TRADING RULES USING BOOTSTRAP METHODOLOGY**  
Year: 1999

**11/ 6/ 27 (Item 2 from file: 35)**  
01516221 ORDER NO: AADNN-10872  
**MARKET MICROSTRUCTURE, TECHNICAL ANALYSIS AND STOCK PRICE  
MOVEMENTS (TORONTO STOCK EXCHANGE )**  
Year: 1995

**11/ 6/ 28 (Item 1 from file: 2)**  
08062796  
**Title: Option pricing under conditions of systematic asymmetry and kurtosis**  
**Book Title:** Computation in Economics, Finance and Engineering: Economic  
Systems. Proceedings volume from the IFAC Symposium  
**Publication Date:** 2000  
**INSPEC Update Issue:** 2001-040  
**Copyright:** 2001, IEE

**11/ 6/ 29 (Item 2 from file: 2)**  
06235028  
**Title: Modelling dynamic systems with biased regression and spectral methods**  
**Publication Date:** 1995  
**INSPEC Update Issue:** 1996-014  
**Copyright:** 1996, IEE

**11/ 6/ 30 (Item 3 from file: 2)**  
05421980  
**Title: Stock price pattern matching system- dynamic programming  
neural networks approach**  
**Publication Date:** 1992  
**INSPEC Update Issue:** 1993-022  
**Copyright:** 1993, IEE

**11/ 6/ 31 (Item 4 from file: 2)**  
04443772  
**Title: Technical charting lights up securities trading**  
**Publication Date:** June 1989  
**INSPEC Update Issue:** 1989-019  
**Copyright:** 1989, IEE

**11/ 6/ 32 (Item 5 from file: 2)**  
03872322  
**Title: New product offers real - time technical analysis charting**  
**Publication Date:** March 1987  
**INSPEC Update Issue:** 1987-011  
**Copyright:** 1987, IEE

**11/ 3,K/ 2 (Item 2 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

03065481 NYT Sequence Number: 675995950911 (USE FORMAT 7 FOR FULLTEXT)

**Sifting Hidden Market Patterns for Profit**

GEORGE JOHNSON

New York Times, Late Edition - Final ED, COL 2, P 1

Monday September 11 1995

DOCUMENT TYPE: Newspaper; Biography LANGUAGE: English RECORD TYPE:  
Fulltext

Word Count: 1439

... bigger killing by using information technology to outsmart the  
glitziest casino of them all -- the **financial markets** .

...investment banks employ former physicists and mathematicians who try to  
apply scientific models to the **financial markets** .

A few end up at small boutique investment houses or consulting firms;  
others, like Dr...

... For years, hordes of investors called **technical analysts** have  
ignored the admonitions about efficient markets. Hoping to gauge investor  
sentiment, they scrutinize graphs of stock **prices** for telltale **patterns**  
with names like breakaway gap, double top, rounded bottom and the  
head-and-shoulder formation...

...trying to apply insights into the behavior of complex systems to the  
economy and the **financial markets** .

...harder to believe that all this information is reflected in the price at  
every possible **instant** ," he said. With powerful enough software, it might  
be possible to find neglected scraps.

...CAPTIONS: use computers to gain an edge at roulette and are now  
applying the techniques to **financial markets** . (Steve Northrup for The  
New York Times)

**11/ 3,K/ 4 (Item 4 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

02253453 NYT Sequence Number: 451525901202 (USE FORMAT 7 FOR FULLTEXT)

**Technology; Going It Alone, Bit by Bit**

BY TIM RACE; Tim Race is an editor of this magazine.

New York Times, Late Edition - Final ED, COL 1, P 19

Sunday December 2 1990

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT6  
Word Count: 3251

... band appears, displaying a rolling stream of stock symbols and prices from the New York **Stock Exchange** . Meanwhile, Siegel, 38,

searches a screen for the talismanic clues that might tell her to...

...professionals, are fulfilling the personal computer's long-vaunted promise of revolutionizing the way people **live** and work. In the past few years, a confluence of faster hardware, better software and...

...t want anyone to know about it."

Once a floor trader on the New York **Commodities Exchange** , Berger founded a discount commodities brokerage on Wall Street with his wife in 1978. In...

...employing a \$300 software package called Fund Master T.C. to mine that data for **moving averages** and other trends, O'Brien is able to apply his own criteria for comparing the...

...found only in mainframe computers costing millions of dollars. Berger and Siegel, who trade in **real time** and therefore demand high number-crunching ability, operate six 386 models in addition to their...

...and he frequently holds a single contract for two or three weeks.

As do many **commodity traders** , James relies on **technical analysis** -- the study of a commodity's historic prices to discern subtle patterns that could recur...

...he explains. "If you're just using monthly charts and drawing trendlines, you can do **technical analysis** with a pencil. And they've been doing it that way for 30 or 40..."

**11/ 3,K/ 5 (Item 5 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

02221952 NYT Sequence Number: 928976910407 (USE FORMAT 7 FOR FULLTEXT)

**All About/ Wall Street Technology; Wall Street's Cutbacks Sidestep Fat Budgets for High-Tech Trading**

KURT EICHENWALD

New York Times, Late Edition - Final ED, COL 1, P 8

Sunday April 7 1991

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT3

Word Count: 1658

... Automation at the New York **Stock Exchange** dates back to 1892, when the Big Board inaugurated its first electric board designed to...

...went into decades of slumber in its hunt for technology. But in May 1962, the **stock market** dropped a scandalous 35 points in a single day. The decline was studied by the...

...The **stock market** crash in October 1987, when more than 600 million shares were traded on a single...

...analytical proprietary trading unit in 1986. About 26 people worked in the unit, including traders, **technical analysts** and computer specialists. The unit and its technological expertise are now being merged with other...

...upstarts have had numerous opportunities to show the marketplace that they have something to offer. **Nasdaq**, the electronic price quotation system run by the National Association of Securities Dealers, last year...

...P.L.C., has given investors several opportunities to trade securities when the New York **Stock Exchange** was closed.

With Instinet, traders -- be they institutional money managers or brokers -- can directly buy...

...The system, which is delivered on a Reuters terminal, has multiple windows which simultaneously display **real - time price** quotes and expressions of interest to buy or sell a stock and to execute a...

...Index arbitrage enables traders to make a profit from price differentials on the stock and **futures markets**.

Though it may not sound sexy, Susquehanna has gained a strong reputation since the New York **Stock Exchange** began weekly listings of the largest firms in the index arbitrage business. Each week, Susquehanna...

...CAPTIONS: York Times)

Table: "Computers on the Floor"

The most active members of the New York **Stock Exchange** engaged in index arbitrage program trading in the week ended March 15. Total number of...

...4

Miller Tabak	1.7
Shearson Lehman	1.0
Gruntal	0.7

(Source: New York **Stock Exchange**)

**11 / 3,K/ 9 (Item 9 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

01665474 NYT Sequence Number: 178521880803 (USE FORMAT 7 FOR FULLTEXT)

**Market Place; Which Strategist Do You Listen To?**

Phillip H. Wiggins

New York Times, Late City Final Edition ED, COL 3, P 6

Wednesday August 3 1988

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECTD

Word Count: 844

TEXT:

WITH many individual investors remaining on the sidelines, wary of a **stock market** that gives little hint of where it is headed, brokers are scanning the reports of...

... money-supply figures, interest rates and a comparison of the 20-week versus 40-week **moving averages** in the Standard & Poor's 500.

The latter measure is based on historical evidence that a bull market is under way when the 20-week **moving average** rises above the 40-week average and the 40-week **moving average** turns up within a few months after a market bottom. However, these conditions have not occurred since the December lows last year, Mrs. Kent said.

Mrs. Kent said her **current** pessimism is also based on a number of proprietary measures of long-term volatility in...

... Mrs. Kent, who sees little **current** danger of inflation, fears that the market is obsessed with that possibility. The real concern...

...end of the year, assuming the banking system holds together," she said.

Ed Nicoski, chief **technical analyst** at Piper, Jaffray & Hopwood Inc. in Minneapolis, is also advising caution.

...by the market to reach new highs before the end of the year if the **bond market** rallies, Mr. Nicoski said. "There's no compelling reason to become overly bearish just yet...

...will be a sizable rally leading up to the election in November."

John Brooks, a **technical analyst** at Marshall & Company in Atlanta, believes the Dow Jones industrial average will hit 2,300...

...huge amounts of foreign money and domestic institutional funds are poised to re-enter the **stock market** and the view that stocks are increasingly attractive because price-earnings ratios have declined in...

**11/ 3,K/ 12 (Item 12 from file: 471)**

DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.



01500013 NYT Sequence Number: 215657871122 (USE FORMAT 7 FOR FULLTEXT)

## When Chaos Rules the Market

JAMES GLEICK

New York Times, Late City Final Edition ED, COL 1, P 1

Sunday November 22 1987

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT3

Word Count: 4008

TEXT:

THAT the **stock market** embodies turbulence, mayhem and unpredictability, no survivor of October 1987 can doubt. Some economists, borrowing... those techniques to the especially intricate and self-conscious brand of disorder displayed by the **financial markets**. In the aftermath of the explosive movements of the last month, some researchers believe that the methods of chaos theory may be particularly appropriate to the **stock market**, a system famous for creating trends and patterns and then violently defying them.

... "We now know very clearly that **stock market** prices cannot be analyzed by the old procedures that we used," said James Ramsey, a...

...The **stock market** is the economy's most visible showplace for the waxing and waning of wealth and...

...unexpected ways, with time lags that sometimes obscure their importance.

\* Traditional ways of looking at **stock market** data, from random walk theory to **technical analysis**, come into serious question in light of chaos, according to some economists. (See box, page...

...scientists believe that the stormy oscillations of the last month reflect those tendencies in the **financial markets**.

"Somebody who's worked on chaos is in no way surprised that this sort of...

...simple systems can produce streams of data that rise and fall as erratically as the **stock market**, indicating that they may be governed by the rules of chaos.

...complexity that comes with human behavior: the same people who are trying to understand the **stock market** are quite capable of influencing the variables they seek to predict.

### Global Instability

There were moments, during the frenzied collapse of Oct. 19, when the **stock market** produced the financial equivalent of water flowing uphill.

Options to buy or sell stock - calls...

...an over-the-counter market maker could or would answer his phone at a given **instant**; whether a sharp price change would breach a threshold and

set off computers managing the...

..."It is true that people who have been studying the **stock market** with the tools of nonlinear dynamics have found, before this last episode, evidence of chaotic...

< removed unnecessary information >

**11/ 3,K/ 13 (Item 13 from file: 471)**  
DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

01282098 NYT Sequence Number: 250932860414 (USE FORMAT 7 FOR FULLTEXT)

**MARKET PLACE; Technical Data Signal Danger**

Daniel F. Cuff

New York Times, Late City Final Edition ED, COL 3, P 10

Monday April 14 1986

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECTD

Word Count: 787

TEXT:

ARE technical indicators flashing a correction ahead for the **stock market** ?

A chart in a recent issue of the Merrill Lynch Market Letter shows that 85 percent of stocks on the New York **Stock Exchange** are above their 200-day **moving averages** of prices. This is up from about 40 percent when the rally began last fall.

**Moving averages** are statistical techniques used to smooth fluctuations in stock price movements to better show the...

... market top, he said, 90 percent of Big Board stocks were above their 200-day **moving averages** for a period of six months. Some other signs that decline might set in for...

...In addition, he said, figures for nonblock **stock trading** of under 10,000 shares have turned negative. "Typically, it's the smart money and it's showing clear signs of selling into strength," he said.

Mr. Nicoski and other **technical analysts** saw the market rising in the long term. But in the intermediate term, he added...

...selective and should not chase stocks - buy stocks that have already moved up smartly.

Many **analysts** of **technical** trends, while they speak of consolidation, see the bull market galloping in the long run...

...low from 1964 to 1966, when the market went from 750 to 1,000.

The **technical analysts** may be seeing some negatives in their statistical tea leaves but nothing to test the...

11/ 3,K/ 22 (Item 22 from file: 471)  
DIALOG(R)File 471:New York Times Fulltext  
(c) 2009 The New York Times. All rts. reserv.

00611607 NYT Sequence Number: 055227831120 (USE FORMAT 7 FOR FULLTEXT)

**STRATEGIES FOR THE SOPHISTICATED**

NATHANIEL C. NASH

New York Times, Late City Final Edition ED, COL 1, P 81

Sunday November 20 1983

DOCUMENT TYPE: Newspaper LANGUAGE: English RECORD TYPE: Fulltext

SECTION HEADING: SECT12

Word Count: 1540

TEXT:

**STOCK market** technicians were once considered the eggheads of Wall Street. But no more. Those individuals who...

...that such exercises are not beyond their abilities - with some diligence.

In its simplest form, **technical analysis** uses historical and **current** data from the stock and **bond markets** to predict the long-term and short-term thrusts of stocks. Broad price- trend statistics...

... any hints at any change in that trend - they also apply similar techniques to perform **technical analysis** of individual stocks and stock groups.

But what baffles many beginners about the **chartists** ' ritual is that they pay no attention to the "fundamentals" of a stock - the strength...

...no one indicator or chart can be trusted implicitly to predict major changes in the **stock market** , nor can one afford to rely on only a handful of "favorite" technical indicators. When...

...and ratios. Many technicians regularly track as many as 100 such indicators.

A foray into **technical analysis** is not a 10-minute-a-week exercise.

... The technical indicators that track the ups and downs of the **stock market** are most frequently divided into three categories - breadth-momentum measurements, sentiment indicators and monetary signals...

...examination of the internal strength or weakness of the market by looking at trading volume **patterns** and **price** trends, "a kind of electrocardiogram of the market," said Mr. Yashewski. He noted that analysts compare an indicator as simple as trading volume on the New York **Stock Exchange** with the movement in the exchange's composite index and look for divergent trend lines...

...of weekly declines from the number of advances and plots that against a 50- week **moving average** of the same figures. When the weekly figure is above the 50-week **moving average** , it indicates a rising market, and vice versa.

...institute began tracking the index in 1941, when the weekly plots have been above the **moving average**, "we've been in a major bull market 91 percent of the time." When the plot has been below the **moving average**, he said, the market has been in a major bear phase 67 percent of the...

...A favorite index of Robert W. Colby, vice president and **technical analyst** at Smith Barney Harris Upham, is the ratio of short sales by the public to...

... Other sentiment indicators include short-interest ratios for the New York and American **Stock Exchanges**, which have been near historic highs lately and thus are very bullish signs and a 10-day **moving average** of Big Board odd-lot selling, which has been neutral recently.

MONETARY INDICATORS The monetary indicators are considered the weakest aspect of **technical analysis**. It is essentially the study of trends in interest rates and the prices of publicly...

...over the discount rate, the reserve requirement for its member banks and margin requirements on **stock trading** that the Fed sets for the brokerage industry.

**11/ 3,K/ 26 (Item 1 from file: 35)**  
DIALOG(R)File 35:Dissertation Abs Online  
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01795169 ORDER NO: AADAA-19935167  
**STOCK PRICE, VOLATILITY AND VOLUME: THE PROFITABILITY OF TECHNICAL TRADING RULES USING BOOTSTRAP METHODOLOGY**  
Author: KWON, KI-YEOL  
Degree: PH.D.  
Year: 1999  
Corporate Source/Institution: LEHIGH UNIVERSITY (0105)  
Source: VOLUME 60/06-A OF DISSERTATION ABSTRACTS INTERNATIONAL.  
PAGE 2156. 202 PAGES

...value than earlier studies. The profitability of the technical trading rules (the filter rules and **moving average** rules) is investigated for the individual stocks in the first essay. Although the performances of...

...technical trading rules vary across securities, the 0.5% filter rule and the 10-day **moving average** rule generally perform well over all securities in the DJIA with one-way 0.1% transaction costs. The second essay consists of an empirical **analysis** on **technical** trading rules (the simple price **moving average**, momentum, and trading volume) in the **stock market** index. The traditional t-test is applied to examine the

value of technical trading rules...

...1) the parametric bootstrap, (2) non-parametric bootstrap, (3) asymptotic method. The **current** study uses the Monte Carlo simulation. Unlike conventional statistical methods, the bootstrap method may be...

**11/ 3,K/ 27 (Item 2 from file: 35)**

DIALOG(R)File 35:Dissertation Abs Online

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01516221 ORDER NO: AADNN-10872

**MARKET MICROSTRUCTURE, TECHNICAL ANALYSIS AND STOCK PRICE MOVEMENTS (TORONTO STOCK EXCHANGE )**

Author: LIU, FENG

Degree: PH.D.

Year: 1995

Corporate Source/Institution: CONCORDIA UNIVERSITY (CANADA) (0228)

Source: VOLUME 57/07-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

PAGE 3172. 162 PAGES

ISBN: 0-612-10872-4

This thesis uses quotation and trade-by-trade data from the Toronto **Stock Exchange** (TSE) to examine a number of issues associated with the efficiency of capital markets, asset...

...variables (volume and number of trades, respectively). While historical trade information is useful in predicting **current** stock price movements and quote revisions, the incremental predictive power from adding technical trading rule signals (such as **moving average** crossings, trading range breaks and relative strength) is very limited. Thus, these technical techniques consistently...

**11/ 3,K/ 30 (Item 3 from file: 2)**

DIALOG(R)File 2:INSPEC

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05421980

**Title: Stock price pattern matching system- dynamic programming neural networks approach**

**Author(s):** Tanigawa, T.; Kamijo, K.

**Author Affiliation:** NEC Corp., Kanagawa, Japan

**Inclusive Page Numbers:** 465-71 vol.2

**Publisher:** IEEE, New York, NY

**Country of Publication:** USA

**Publication Date:** 1992

**Conference Title:** IJCNN International Joint Conference on Neural Networks

(Cat. No.92CH3114-6)

**Conference Date:** 7-11 June 1992

**Conference Location:** Baltimore, MD, USA

**Conference Sponsor:** IEEE Int. Neural Network Soc

**ISBN:** 0 7803 0559 0

**U.S. Copyright Clearance Center Code:** 0 7803 0559 0/92/\$3.00

**Item Identifier (DOI):** <http://dx.doi.org/10.1109/IJCNN.1992.226944>

**Number of Pages:** 4 vol. (xii+ 962+ xiii+ 1023+ xii+ 1006+ xi+ 868)

**Language:** English

**Subfile(s):** C (Computing & Control Engineering); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1993-022

**Copyright:** 1993, IEE

**Abstract:** The **dynamic** programming neural network (DNN). DNN is based on the integration of the neural and **dynamic** programming matching method (DP-matching). In order to find patterns similar to a specified pattern ...

...bias is eliminated by a stock price normalization method and a neural network. A stock **price pattern** matching system using the DNN approach was developed on an NEC EWS4800 workstation. This system...

...graphical user interface on an X-Window system. A subjective evaluation was conducted. The stock **price patterns** which were classified by DNN were evaluated by three **chartists** (human experts). High correlation was found between the similarity by DNN and the evaluation by **chartists**. The proposed DNN system is able to match patterns, which **chartists** judge as similar patterns

**Descriptors:** **dynamic** programming; neural nets; pattern recognition; **stock markets**

**Identifiers:** **dynamic** programming neural networks; nonlinear **time** elasticity; stock **price** normalization; stock **price pattern** matching system; NEC EWS4800 workstation; graphical user interface; X-Window; **chartists**

11/ 3,K/ 31 (Item 4 from file: 2)

DIALOG(R)File 2:INSPEC

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04443772

**Title:** **Technical charting lights up** securities trading

**Author(s):** Schmerken, I.

**Journal:** Wall Street Computer Review, vol.6, no.9, pp.42-63

**Country of Publication:** USA

**Publication Date:** June 1989

**ISSN:** 0738-4343

**CODEN:** WSCRDQ

**Language:** English  
**Subfile(s):** D (Information Technology for Business); E (Mechanical & Production Engineering)  
**INSPEC Update Issue:** 1989-019  
**Copyright:** 1989, IEE

**Title:** **Technical charting lights up** securities trading

**Abstract:** From Wall Street to Main Street, new developments in **technical analysis** software make a once arcane financial specialty accessible to the professional investor. At one time considered a profession for fanatics with green eyeshades, **technical analysis** used to rely on technicians who collected massive amounts of data by hand to chart trading histories. Now they can subscribe to **real - time** services that update historical prices with fresh tick-by-tick data or reach back in time by supplying users with 25 years of price history. **Technical analysts** examine **chart patterns** to discern historical price and volume trends. They believe history repeats itself. Several software packages...

**Descriptors:** buyer's guides; investment; **securities trading** ; software packages  
**Identifiers:** **securities trading** ; **technical analysis** software; software packages

**11/ 3,K/ 32 (Item 5 from file: 2)**  
DIALOG(R)File 2:INSPEC  
(c)2009 Institution of Engineering & Technology. All rts. reserv.

03872322

**Title:** **New product offers** real - time technical analysis **charting**

**Authors(s):** Byramji, H.M.

**Journal:** Wall Street Computer Review, vol.4, no.6, pp.20-6

**Country of Publication:** USA

**Publication Date:** March 1987

**ISSN:** 0738-4343

**CODEN:** WSCRDQ

**Language:** English

**Subfile(s):** C (Computing & Control Engineering); D (Information Technology for Business); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1987-011

**Copyright:** 1987, IEE

**Title:** **New product offers** real - time technical analysis **charting**

**Abstract:** **Technical analysis** is a proven way of predicting short-term price movements and is widely used by professional and individual investors ranging from portfolio managers to **commodity traders** . For those who need both daily and **real - time technical analysis** then the CTS Trend software package fits the bill. It is divided into modules, users...

...Charts module containing most of the commonly used indicators, including

high/low/close bar charts, **moving averages** , point and figure, departure, ratio and spread charts. CTS Trend is menu driven and is...

**Descriptors:** **commodity trading** ; financial data processing; investment; **real - time** systems; software packages

**Identifiers:** **real - time technical analysis** charting; short-term price movements; investors; portfolio managers; **commodity traders** ; CTS Trend software package; Fundamental Charts module; high/low/close bar charts; **moving averages** ; menu driven



## B. NPL Files, Full-text

? show files;ds

File 634: San Jose Mercury Jun 1985-2009/May 09  
(c) 2009 San Jose Mercury News

File 626: Bond Buyer Full Text 1981-2008/Jul 07  
(c) 2008 Bond Buyer

File 268: Banking Info Source 1981-2009/May W1  
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File 625: American Banker Publications 1981-2008/Jun 26  
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S1	205888	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
S2	205888	(TECHNICAL OR STATISTICAL)(2N)(ANALYSIS OR ANALYST OR ANALYSTS OR ANALYSES OR ANALY?ATION OR FILTER??? OR SYNTHESI? OR -ASSAY??? OR APPRAIS??? OR ASSESS? OR MODELING OR MODELLING OR FORECASTING OR INTERPRET??? OR INTERPRETATION) OR CHARTIST OR CHARTISTS
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EST OR DEMAND OR FLY)  
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S6 3955 S2(10N)S3  
S7 129 S4(5N)S5  
S8 1 S6(S)S7  
S9 11072 S2(S)S3  
S10 303 S4(10N)S5  
S11 24 S9(2S)S10  
S12 24 S8 OR S11  
S13 6 S12 NOT (PY> 2000 OR PD= 20001028:20001231)  
S14 6 RD (unique items)

**14/ 6/ 1 (Item 1 from file: 15)**

01597780 02-48769

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

**The trend is your friend**

Apr 1998 LENGTH: 3 Pages

WORD COUNT: 1776

**14/ 6/ 2 (Item 2 from file: 15)**

01432594 00-83581

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

**Essential fund-switching software**

Jun 2, 1997 LENGTH: 2 Pages

WORD COUNT: 1322

**14/ 6/ 3 (Item 3 from file: 15)**

00382045 87-40879

**On-Line Services That Give Some Traders an Edge/ How Club 3000 Members Rate On-Line Services**

Nov 1987 LENGTH: 6 Pages

**14/ 6/ 4 (Item 4 from file: 15)**

00232224 84-10785

**Technicians' World: The Numbers Game**

Mar 21/Apr 3, 1984 LENGTH: 3 Pages



**14/ 6/ 5 (Item 1 from file: 148)**

07878363 SUPPLIER NUMBER: 15496501 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**The impact of exchange rate changes on investment in research and development.**

Summer, 1994

WORD COUNT: 6961 LINE COUNT: 00568

**14/ 6/ 6 (Item 2 from file: 148)**

02036493 SUPPLIER NUMBER: 03289240 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**Tiptoeing into futures trading.**

June, 1984

WORD COUNT: 2233 LINE COUNT: 00162

**14/ 3,K/ 1 (Item 1 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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01597780 02-48769

**The trend is your friend**

Anderson, James A

Money v27n4 PP: A1-A4 Apr 1998

ISSN: 0149-4953 JRNL CODE: MON

WORD COUNT: 1776

...TEXT: s closing price over a set number of days, usually 50, 100 or 200.

A **stock trading** above its **moving average** is on an upswing, say technicians (again, see the Black & Decker chart); one that's below may continue to flounder (see the Intel chart on page A2).

**Technical analysis** like this can also become a self-fulfilling prophecy, since portfolio managers are all looking...

...day average against the 50-day, which he says can give a strong indication of **current** demand vs. the recent past.

**14/ 3,K/ 3 (Item 3 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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00382045 87-40879

**On-Line Services That Give Some Traders an Edge/ How Club 3000 Members Rate On-Line Services**

Stein, Jon

Futures: The Magazine of Commodities & Options v16n11 PP: 59-63, 66 Nov 1987

ISSN: 0746-2468 JRNL CODE: CMM

ABSTRACT: Increased interest in the **futures markets** has resulted in the proliferation and consolidation of online, **real - time price** -quoting services. The most conventional methods of quote delivery consist of dedicated land lines, satellite...

...FM frequency, and microwave transmission. A developed price-quotation system includes: 1. hardware, 2. a **dynamic** database of prices, 3. software, and 4. an online news service. Some electronic online services...

...and System One from Commodity Quote-Graphics (CQG) and MarketVision. Information packages include Future-Source **Technical** , TeleTrac, CNS **Analyst** , MoneyCenter, Quotron 800, and Quotron 1000. Quotation services include Chart 100, Lotus Signal, WarMachine, TrendSetter...

**14/ 3,K/ 4 (Item 4 from file: 15)**

DIALOG(R)File 15:ABI/Inform(R)

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00232224 84-10785

**Technicians' World: The Numbers Game**

Rosenberg, Hilary

Financial World v153n7 PP: 16, 20-21 Mar 21/Apr 3, 1984

ISSN: 0015-2064 JRNL CODE: TWO

ABSTRACT: **Technical analysts** believe the present state of the market is only the long-anticipated correction in an...

...technicians, including Stan Weinstein, editor of The Professional Tape Reader, correctly predicted the market's **current** downswing. Roy Blumberg, of A. G. Becker, looks for 2 signals marking a positive turnaround...

...lines for the over-the-counter market, the American Stock Exchange, and the New York **Stock Exchange**, and major market averages moving above their 30-week **moving averages**. For now, analysts advocate avoiding most stock groups.

# Refine Search

## Search Results

Terms	Documents
705/1	12087

Database:

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EPO Abstracts Database  
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## Search History

DATE: Tuesday, June 23, 2009

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<u>L5</u>	705/1	12087	<u>L5</u>
<u>L4</u>	705/37	5067	<u>L4</u>
<u>L3</u>	L2 and moving with averages	126	<u>L3</u>
<u>L2</u>	L1 and (chart\$3 or charting)	686	<u>L2</u>
<u>L1</u>	technical near2 analysis	2440	<u>L1</u>

END OF SEARCH HISTORY





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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/415,022 09/05/2003 Jeffrey Bruce Mcgeorge CULLP0177US 1059

23908 7590 02/09/2009
RENNER OTTO BOISSELLE & SKLAR, LLP
1621 EUCLID AVENUE
NINETEENTH FLOOR
CLEVELAND, OH 44115

EXAMINER

COLBERT, ELLA

Table with 2 columns: ART UNIT, PAPER NUMBER

3696

Table with 2 columns: MAIL DATE, DELIVERY MODE

02/09/2009

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.



<b>Interview Summary</b>	<b>Application No.</b> 10/415,022	<b>Applicant(s)</b> MCGEORGE, JEFFREY BRUCE	
	<b>Examiner</b> Ella Colbert	<b>Art Unit</b> 3696	

All participants (applicant, applicant's representative, PTO personnel):

- (1) Ella Colbert. (3) \_\_\_\_\_.
- (2) Attorney Don Bulson. (4) \_\_\_\_\_.

Date of Interview: 26 January 2009.

Type: a)  Telephonic b)  Video Conference  
c)  Personal [copy given to: 1)  applicant 2)  applicant's representative]

Exhibit shown or demonstration conducted: d)  Yes e)  No.  
If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: 1-4.

Identification of prior art discussed: N/A.

Agreement with respect to the claims f)  was reached. g)  was not reached. h)  N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Applicant's Representative, Attorney Don Bulson, discussed the 35 USC 112, First and second paragraph rejections and the dictionary definitions of technical analysis which were attached to the interview agenda and he also discussed the invention.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

/Ella Colbert/ Primary Examiner, Art Unit 3696	
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**Application Number**



<b>Application/Control No.</b> 10/415,022	<b>Applicant(s)/Patent under Reexamination</b> MCGEORGE, JEFFREY BRUCE	
<b>Examiner</b> Ella Colbert	<b>Art Unit</b> 3696	

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent application of:

Applicant(s): Jeffrey Bruce McGeorge  
Serial No: 10/415,022  
Filing Date: September 5, 2003  
Title: TRADING SYSTEM  
Examiner: Ella Colbert  
Art Unit: 3694  
Docket No. CULLP0177US

**REPLY TO OFFICE ACTION DATED SEPTEMBER 3, 2008**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Favorable reconsideration of the above-referenced application is respectfully requested in view of the following part(s) of this reply:

Amendments to the Claims  
Remarks

Enclosures:  Credit Card Payment  
 Petition for Extension of Time  
 Information Disclosure Statement

In the event any fee or additional fee is due in connection with the filing of this paper, the Commissioner is authorized to charge those fees to our Deposit Account No. 18-0988 (under the above Docket Number). In the event an extension of time is needed to make the filing of this paper timely and no separate petition is attached, please consider this a petition for the requisite extension and charge the fee to our Deposit Account No. 18-0988 (under the above Docket Number).

## Amendments to the Claims

1. (currently amended) A method of informing users of stock market events comprising the steps of:

(a) receiving real-time stock market data on a network of computers;

(b) receiving on the network of computers ~~receiving~~ instructions from a user to specify stock market technical analysis criteria to be applied to the stock market data relating to at least one stock to ~~arrive at~~ provide at least one user-specified technical analysis indicator value which signals the occurrence of a change in stock value significant to the user;

(c) using the network of computers ~~applying to~~ apply the user-specified stock market technical analysis criteria to the real-time stock market data in real-time to ~~arrive at~~ provide at least one calculated technical analysis indicator value based on the real-time stock market data; and

(d) ~~the network of computers~~ causing a real-time notification by the network of computers to be provided to the user via a remote communications device upon the occurrence of the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market data occur, the real-time notification directed to a remote communications device of the user.

2. (currently amended) A method as claimed in claim 1, wherein the receiving step (b) includes receiving instructions from the user to provide technical analysis criteria for specific stocks, and providing the requested technical analysis criteria for the specific stocks via the remote communications device.

3. (currently amended) A method as claimed in claim 1, wherein ~~the~~ receiving step (b) includes receiving instructions from the user to provide technical analysis criteria of overall stock market trends, and providing the requested technical analysis criteria of the overall stock market trends via the remote communications device.

4. (previously presented) A method as claimed in claim 1, wherein the remote communications device comprises a users fixed or mobile telephone, a personal computing device, a facsimile or pager of the user.

5-9. (cancelled)

## Remarks

The various parts of the Office Action (and other matters, if any) are discussed below under appropriate headings.

### ***Claim Objections***

The claims have been amended to place them in a more traditional method claim style as requested by the Examiner.

Consideration has been given to the Examiner's suggested language changes to eliminate the two instances of a double "at". Such changes, however, appear to change the substance of the claim. As an alternative, claim 1 has been amended by changing "arrive at" to "provide", which essentially has an equivalent meaning.

Regarding the Examiner's comment about a redundant recitation of "real time", such term clarifies the real time (on line) implementation of step (c).

### ***Claim Rejections – 35 U.S.C. 112***

Claims 1-4 have been rejected as failing to comply with the enablement requirement. As understood, the Examiner considers lacking in support the following passages:

receiving instructions from a user to specify stock market technical analysis criteria to be applied to the stock market data relating to at least one stock to arrive at at least one user-specified technical analysis indicator value which signals the occurrence of a change in stock value significant to the user;

applying the user-specified stock market technical analysis criteria to the real-time stock market data in real-time to arrive at at least one calculated technical analysis indicator value based on the real-time stock market data; and

causing a real-time notification to be provided to the user via a remote communications device upon the occurrence of the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market

data occur, the real-time notification directed to a remote communications device of the user.

It is respectfully submitted that such passages are fully supported and enabled by the specification.

Support can be found, for instance in Paragraphs [0024] to [0032] of applicant's published application:

[0024] A plurality of integrated and related systems can be provided to achieve information transfer.

[0025] The systems and relationships can be as follows;

[0026] (i) From an Internet software, Wap enabled phone or mobile input device.

[0027] **The user sends a message or command** from a second system device, which is then intercepted by the switching box.

[0028] **The message may contain** data: including **information about how to setup the users watches**, requests for specific data or login information.

[0029] (ii) A server switch box can receive all messages sent from any computer or device connected or connecting to the system.

[0030] The function of the switch box can be to:

[0031] (1) find the least busy drone computer within a network **to process a specific** command or **watch**.

[0032] (2) **route alerts to an sms server to be sent to clients computers or mobile handsets**.

(emphasis added).

Paragraphs [0036], [0037], [0055] and [0075] state:

[0036] (2) **To repetitively calculate users requested "watch data" (an event set by the user to trigger an alert which is sent to the users mobile or static device).**

[0037] **The watch data can consist of:** a simple, price/volume or price plus volume watch or a **technical analysis request, e.g. trend line drawing, moving average alerts, as well as other well documented technical analysis systems.**

[0055] The drone **processes messages from the users** (sent via the switch). **These messages are technical indicator instructions. The drone then analysis the stock market at a specified internal and applies the users chosen technical and analysis indicators formulas to the data. If the data is a valid technical response (e.g. price has reached) the drone sends a message to the switch which then sends it to the SMS server.**

[0075] (1) The system is **online** while an exchange is open. All day, everyday.

(emphasis added). It should be evident from the foregoing that the claimed subject matter is fully supported by the specification.

### ***Claim Rejections – 35 U.S.C. 103***

The art rejections advanced by the Examiner appear to be based on a misunderstanding of the term "technical analysis". The portions of Satow that the Examiner identifies on page 5 of the Office Action as disclosing the feature of step (b) of claim 1, do not disclose or suggest a user-specified stock market technical analysis criteria, merely user specified price data for executing a trade.

Similarly, the portion of Anaya which the examiner contends discloses "applying the user-specified stock market technical analysis criteria to the real-time stock market data..." and "causing a real-time notification to be provided to the user..." is in reality, a system that monitors incoming messages from feed lines for unusual trading prices, ranges, and/or volumes, locked or crossed market conditions, tracing activity during regulatory halts, usual market conditions, and market activities violating regulatory rules. Paragraph [0074] of Anaya mentions that the system analyzes data such as quotations and indices, options/derivative prices, trade prices and quantities, trading halts, and price data on initial public offerings, again none of which fall within the scope of "technical



analysis", and much less technical analysis criteria specified by the user. There simply is no teaching in Anaya that any of these conditions which the Anaya system is analyzing are prescribed by a user wishing an alert notification to be issued to them.

Further, the contention that selecting a particular paragraph from a document containing 265 other paragraphs, interpreting that paragraph in a particular manner which lacks some of the particular features identified in claim 1 such as the user specified stock market technical analysis criteria, and then stating that the addition of that information to the system taught in the primary citation Satow, clearly is based on hindsight.

Attached are several documents explaining what is meant by "technical analysis". The mere specifying of a stock price by a user is not a "technical analysis criteria". In particular, Wikipedia explains "technical analysis" as follows:

**Technical analysis** is a security analysis technique that claims the ability to forecast the future direction of prices through the study of past market data, primarily price and volume.<sup>[1]</sup> In its purest form, technical analysis considers only the actual price and volume behavior of the market or instrument. Technical analysts, sometimes called "chartists", may employ models and trading rules based on price and volume transformations, such as the relative strength index, moving averages, regressions, inter-market and intra-market price correlations, cycles or, classically, through recognition of chart patterns.

Technical analysis stands in distinction to fundamental analysis. Technical analysis "ignores" the actual nature of the company, market, currency or commodity and is based solely on "the charts," that is to say price and volume information, whereas fundamental analysis does look at the actual facts of the company, market, currency or commodity. For example, any large brokerage, trading group, or financial institution will typically have both a technical analysis and fundamental analysis team.

Technical analysis is widely used among traders and financial professionals, and is very often used by active day traders, market makers, and pit traders. In the 1960s and 1970s it was widely discredited by academic mathematics. In a recent review, Irwin and Park<sup>[2]</sup> reported that 56 of 95 modern studies found it produces positive results, but noted that many of the positive results were rendered dubious by issues such as data snooping so that the evidence in support of technical analysis was

inconclusive; it is still considered by many academics to be pseudoscience.<sup>[3]</sup> Academics such as Eugene Fama say the evidence for technical analysis is sparse and is inconsistent with the weak form of the efficient market hypothesis.<sup>[4][5]</sup> Users hold that even if technical analysis cannot predict the future, it helps to identify trading opportunities.<sup>[6]</sup>

In the foreign exchange markets, its use may be more widespread than fundamental analysis.<sup>[7][8]</sup> While some isolated studies have indicated that technical trading rules might lead to consistent returns in the period prior to 1987,<sup>[9][10][11][12]</sup> most academic work has focused on the nature of the anomalous position of the foreign exchange market.<sup>[13]</sup> It is speculated that this anomaly is due to central bank intervention.<sup>[14]</sup>

\*\*\*

Technical analysts (or technicians) seek to identify price patterns and trends in financial markets and attempt to exploit those patterns.<sup>[15]</sup> While technicians use various methods and tools, the study of price charts is primary.

Technicians especially search for archetypal patterns, such as the well-known head and shoulders or double top reversal patterns, study indicators such as moving averages, and look for forms such as lines of support, resistance, channels, and more obscure formations such as flags, pennants or balance days.

Critics argue that these 'patterns' are simply random effects on which humans impose causation. Critics state that humans see patterns that aren't there and then ascribe value to them.

Technical analysts also extensively use indicators, which are typically mathematical transformations of price or volume. These indicators are used to help determine whether an asset is trending, and if it is, its price direction. Technicians also look for relationships between price, volume and, in the case of futures, open interest. Examples include the relative strength index, and MACD. Other avenues of study include correlations between changes in options (implied volatility) and put/call ratios with price. Other technicians include sentiment indicators, such as Put/Call ratios and Implied Volatility in their analysis.

Technicians seek to forecast price movements such that large gains from successful trades exceed more numerous but smaller losing trades, producing positive returns in the long run through proper risk control and money management.

There are several schools of technical analysis. Adherents of different schools (for example, candlestick charting, Dow Theory, and Elliott wave theory) may ignore the other approaches, yet many traders combine elements from more than one school. Technical analysts use judgment gained from experience to decide which pattern a particular instrument reflects at a given time, and what the interpretation of that pattern should be.

Technical analysis is frequently contrasted with fundamental analysis, the study of economic factors that some analysts say can influence prices in financial markets. Technical analysis holds that prices already reflect all such influences before investors are aware of them, hence the study of price action alone. Some traders use technical or fundamental analysis exclusively, while others use both types to make trading decisions.

The dependent claims recite still further features not found in a combination similar to that claimed. Inasmuch as the dependent claims are allowable for at least the same reasons as the claims from which they depend, the Examiner's comments in respect thereof need not be addressed and this should not be construed to be an acquiescence in the contentions made by the Examiner.

### **Conclusion**

In view of the foregoing, request is made for timely issuance of a notice of allowance.

Respectfully submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

/Don W. Bulson/

By \_\_\_\_\_

Don W. Bulson, Reg. No. 28,192

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re PATENT application of:

Applicant:	Jeffrey Bruce McGeorge	Examiner:	Ella Colbert
Serial No.:	10/415,022	Art Unit:	3694
Filing date:	September 5, 2003		
Title:	TRADING SYSTEM	Docket No.	CULLP0177US

**PETITION AND FEE FOR EXTENSION OF TIME**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Petition hereby is made for an extension of time to respond to the Office communication mailed on September 3, 2008 for a period of:

Number of months ( <i>put an "X" in box</i> )		One	\$130	\$0.00
	X	Two	\$490	\$490.00
		Three	\$1,110	\$0.00
		Four	\$1,730	\$0.00
		Five	\$2,350	\$0.00
Extension Fee ( <i>large entity</i> )				\$490.00
Small Entity Status claimed ( <i>put an "X" in box</i> )		Extension Fee ( <i>small entity</i> )		\$0.00
less amount paid previously for earlier extension of same deadline				\$0.00
Payment due				\$490.00

Fee Payment:     Credit card payment covering the fee.  
 Charge the fee to Deposit Account No. 18-0988, under the above-shown docket number.

If any additional extension of time for the accompanying response is required, applicant requests that this be considered a petition therefor. The Commissioner is authorized to charge any additional fee which may be required by this petition, or credit any overpayment, to Deposit Account No. 18-0988 under the above-shown docket number.

/Don W. Bulson/  


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## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10415022
<b>Filing Date:</b>	05-Sep-2003
<b>Title of Invention:</b>	Trading system
<b>First Named Inventor/Applicant Name:</b>	Jeffrey Bruce McGeorge
<b>Filer:</b>	Don W. Bulson/Kellie Nicholson
<b>Attorney Docket Number:</b>	CULLP0177US

Filed as Large Entity

### U.S. National Stage under 35 USC 371 Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				
Extension - 2 months with \$0 paid	1252	1	490	490

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>490</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	4674892
<b>Application Number:</b>	10415022
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1059
<b>Title of Invention:</b>	Trading system
<b>First Named Inventor/Applicant Name:</b>	Jeffrey Bruce Mcgeorge
<b>Customer Number:</b>	23908
<b>Filer:</b>	Don W. Bulson/Kellie Nicholson
<b>Filer Authorized By:</b>	Don W. Bulson
<b>Attorney Docket Number:</b>	CULLP0177US
<b>Receipt Date:</b>	26-JAN-2009
<b>Filing Date:</b>	05-SEP-2003
<b>Time Stamp:</b>	15:10:23
<b>Application Type:</b>	U.S. National Stage under 35 USC 371

### Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$490
RAM confirmation Number	544
Deposit Account	
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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1		P0177US-R04.pdf	53646 e7f35dd667cad942805d240661cc4fd73bef9caa	yes	10
<b>Multipart Description/PDF files in .zip description</b>					
		<b>Document Description</b>	<b>Start</b>	<b>End</b>	
		Claims	1	3	
		Applicant Arguments/Remarks Made in an Amendment	4	10	
<b>Warnings:</b>					
<b>Information:</b>					
2	NPL Documents	Appendix-A-wikipedia.pdf	119932 80acfd47a1a1802b99c907eea08e34508f3c53e0	no	11
<b>Warnings:</b>					
<b>Information:</b>					
3	NPL Documents	Appendix-B-answers.pdf	197809 dd726f9de917f99a46c65359c0a14964e491d8e	no	11
<b>Warnings:</b>					
<b>Information:</b>					
4	Extension of Time	P0177US-R04ExtofTime.pdf	50526 eec37467bc80edbf79c9a986a58d0cc76a8b593a	no	1
<b>Warnings:</b>					
<b>Information:</b>					
5	Fee Worksheet (PTO-06)	fee-info.pdf	30356 7faa138a638c22cbd10210e239d6751bdb6bbb3a	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			452269		

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/415,022	09/05/2003	Jeffrey Bruce McGeorge	CULLP0177US	1059

23908                      7590                      09/03/2008  
 RENNER OTTO BOISSELLE & SKLAR, LLP  
 1621 EUCLID AVENUE  
 NINETEENTH FLOOR  
 CLEVELAND, OH 44115

EXAMINER

COLBERT, ELLA

ART UNIT	PAPER NUMBER
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3696

MAIL DATE	DELIVERY MODE
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09/03/2008

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

**Office Action Summary**

<b>Application No.</b> 10/415,022	<b>Applicant(s)</b> MCGEORGE, JEFFREY BRUCE	
<b>Examiner</b> Ella Colbert	<b>Art Unit</b> 3696	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 27 February 2008.
- 2a)  This action is **FINAL**.                      2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-4 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-4 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a)  All    b)  Some \*    c)  None of:
1.  Certified copies of the priority documents have been received.
2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- 5)  Notice of Informal Patent Application
- 6)  Other: \_\_\_\_\_

### DETAILED ACTION

1. Claims 1-4 are pending. Claim 1 has been amended in this communication filed 02/27/08 entered as Amendment with filing of RCE.
2. The 35 USC 112, second paragraph rejection in the rejection of 11/24/07 is hereby withdrawn in view of Applicant's amendment to claim 1.
3. The 35 USC 101 rejection of claims 1-4 has been overcome by Applicant's amendment to claim 1 and is hereby withdrawn for claims 1-4.

#### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 02/27/08 has been entered.

#### ***Claim Objections***

Claim 1 is objected to because of the following informalities: Claim 1 is in the improper method claim format. A method claim should begin with a word ending in "ing" in order to be in the proper method claim format. For example, 1 (b) should begin with "receiving form the network of computers ...; (c ) applying by the network of computers ...; and (d) causing a real-time notification by the network computers to be provided ...". Claim 1 further recites in 1 (b) "the network of computers receiving ... at least one stock to arrive at at least one user-specified ...". This claim limitation would be better recited

Art.Unit: 3696

without the double "at". Suggestion: "the network of computers receiving ... at least one stock to arrive for the at least one user-specified ...". Claim 1 (c) has a similar problem. Also claim 1 (c) is redundant reciting "... technical analysis criteria to the real-time stock market data in real-time .... based on the real-time stock market data". It is well established from reading the beginning of the claim limitation that the stock market data is in real-time and the technical analysis indicator value is based on the real-time stock market data. Suggestion: "... stock market technical analysis criteria to the real time stock market data will arrive at the at least one calculated technical analysis indicator value based upon the real-time stock market data;".

Appropriate correction is required.

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 1-4 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

The newly added amendments to claim 1 are not fully or sufficiently supported by Applicant's Specification (disclosure). For example, "receiving instructions from a user to specify stock market technical analysis criteria to be applied to the stock market data relating to at least one stock to arrive at at least one user-specified technical analysis

Art Unit: 3696

indicator value which signals the occurrence of a change in stock value significant to the user; ... stock market data in real-time to arrive at at least one calculated analysis indicator value based on the real-time stock market data; and ... the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market data occur, the real-time notification directed to a remote communication device of the user."

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 1 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claim 1 as written is considered indefinite because the metes and bounds of claim limitations (b) and (d) cannot be determined.

"An essential purpose of patent examination is to fashion claims that are precise, clear, correct, and unambiguous. Only in this way can uncertainties of claim scope be removed ...". *In re Zletz* 13 USPQ2d 1320 (Fed. Cir. 1989).

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and

Art Unit: 3696

the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-3 are rejected under 35 U.S.C. 103(a) as being unpatentable over (WO 00/11587) Satow et al, hereafter Satow in view of (US 2003/0097327A1) Anaya et al, hereafter Anaya.

The claims have been examined to the best of the Examiner's ability considering the condition of the claims and the best they can be understood.

As per claim 1. Satow discloses, A method of Informing users of stock market events comprising the steps of: (a) receiving real-time stock market data on a network of computers (Page 5, lines 3-17 and Fig. 1 (10), (16) and Market information (14)); (b) the network of computers receiving instructions from a user to specify stock market technical analysis criteria to be applied to the stock market data relating to at least one stock to arrive for the at least one user-specified technical analysis indicator value which signals the occurrence of a change in stock value to the user (Page 6, line 14 –Page 7, line 11, Fig. 2 (212) and Fig. 6). Satow failed to disclose, (c) the network of computers applying the user -specified stock market technical analysis criteria to the real-time stock market data in real-time to arrive at the at least one calculated technical analysis indicator value based on the real-time stock market data; and (d) the network of computers causing a real-time notification to be provided to the user via the remote communications device upon occurrence of the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified



Art Unit: 3696

technical analysis indicator value as real-time changes in the stock market data occur, the real-time notification directed to a remote communication device of the user. Anaya discloses, (c) the network of computers applying the user -specified stock market technical analysis criteria to the real-time stock market data in real-time to arrive at the at least one calculated technical analysis indicator value based on the real-time stock market data; and (d) the network of computers causing a real-time notification to be provided to the user via the remote communications device upon occurrence of the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market data occur, the real-time notification directed to a remote communication device of the user (pg. 3, col. 2 [0074]-pg. 4, col. 1 [0075] and pg. 5, col. 1 [0089]). It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate the teachings of Anaya in Satow because such an incorporation would allow Satow to have data feeds in real-time that analyze data such as quotations and indices, options/derivative prices, trade prices and quantities, trading halts, and price data.

As per claim 2. Satow discloses, A method as claimed in claim 1, wherein the receiving step includes receiving instructions from the user to provide technical analysis criteria for specific stocks, and providing the requested technical analysis criteria for the specific stocks via the remote communications device (Page 9, line 21-Page 10, line 8, Figure 3b, Figure 3c, and Figure 6).

Art Unit: 3696

As per claim 3. Satow discloses, A method as claimed in claim 1 wherein the receiving step includes receiving instructions from the user to provide technical analysis criteria of overall stock market trends, and providing the requested technical analysis criteria of the overall stock market trends via the remote communications device (page 9, line 10 –Page 10, line 8, Figure 3b, Figure 3c, and Figure 6).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claim 4 is rejected under 35 U.S.C. 103(a) as being unpatentable over (WO 00/11587) Satow et al, hereafter Satow in view of (US 2003/0097327A1) Anaya et al, hereafter Anaya and further in view of (US 6,317,728) Kane.

As per claim 4. Satow and Anaya failed to disclose, A method as claimed in claim 1 wherein remote communications device comprises a users fixed or mobile telephone, a personal computing device, a facsimile or pager of the user. Kane discloses, wherein remote communications device comprises a users fixed or mobile telephone, a personal computing device, a facsimile or pager of the user (col. 8, lines 14-31 and Figure 4). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have remote communications devices comprise a users fixed or mobile telephone, a personal computing device, a facsimile or pager of the user and to modify

Art Unit: 3696

in Satow because such a modification would allow Satow to have a faster means of feedback regarding trade execution.

*Although the Examiner has pointed out particular references contained in the prior art(s) of record in the body of this action, the specified citations are merely representative of the teachings in the art as applied to the specific limitations within the individual claim. Since other passages and figures may apply to the claimed invention as well, it is respectfully requested that the applicant, in preparing the response, to consider fully the entire references as potentially teaching all of the claimed invention, as well as the context of the passage as taught by the prior arts or disclosed by the Examiner.*

### **Conclusion**

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Williams (US 2002/0055899) discloses displaying and organizing financial information.

Nevo (US 5,946,666) discloses analyzing and displaying information concerning financial securities.

Li (US 6,907,404) discloses an investment chart pattern for technical analysis.

### **Response to Arguments**

Applicant's arguments with respect to claims 1-4 have been considered but are moot in view of the new ground(s) of rejection.

Art Unit: 3696

### Inquiries

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ella Colbert whose telephone number is 571-272-6741. The examiner can normally be reached on Monday, Tuesday, and Thursday, 5:30AM-3:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Dixon Thomas can be reached on 571-272-6803. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Ella Colbert/  
Primary Examiner, Art Unit 3696

September 2, 2008

<b>Notice of References Cited</b>	Application/Control No. 10/415,022	Applicant(s)/Patent Under Reexamination MCGEORGE, JEFFREY BRUCE	
	Examiner Ella Colbert	Art Unit 3696	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-2003/0097327	05-2003	Anaya et al.	705/37
*	B US-2002/0055899	05-2002	Williams, Joseph C.	705/37
*	C US-5,946,666	08-1999	Nevo et al.	705/36R
*	D US-6,907,404	06-2005	Li, Bin	705/36R
	E US-			
	F US-			
	G US-			
	H US-			
	I US-			
	J US-			
	K US-			
	L US-			
	M US-			

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N				
	O				
	P				
	Q				
	R				
	S				
	T				

**NON-PATENT DOCUMENTS**

*	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U
	V
	W
	X

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.



# WEST Search History for Application 10415022

Creation Date: 2008090206:38

Query	DB	Op.	Plur.	Thes.	Date
(real-time or realtime or real adj time) and stock adj market same data adj feed	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
analysis adj indicator with value	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and (analysis adj indicator with value )	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
(analysis adj indicator with value ) and 705/37	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
(analysis or analyze or analyses)near5 (indicator or trend) same value	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and ((analysis or analyze or analyses)near5 (indicator or trend) same value )	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
(analysis or analyze or analyses)near5 (indicator or trend) same (value or amount)	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and ((analysis or analyze or analyses)near5 (indicator or trend) same (value or amount) )	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock adj market same data adj feed ) and 705/37	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
((real-time or realtime or real adj time) and stock	PGPB, USPT,	OR	YES		09-02-2008

adj market same data adj feed and 705/37 ) and (analysis or analyzes)	USOC, EPAB, JPAB, DWPI, TDBD				
((real-time or realtime or real adj time) and stock adj market same data adj feed and 705/37 and (analysis or analyzes) ) and value	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
705/36	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
705/36r	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008
trad\$ adj forecast\$	PGPB, USPT, USOC, EPAB, JPAB, DWPI, TDBD	OR	YES		09-02-2008



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re PATENT application of:

Applicant(s): Jeffrey Bruce McGeorge  
Serial No: 10/415,022  
Filing Date: September 5, 2003  
Title: TRADING SYSTEM  
Examiner: Ella Colbert  
Art Unit: 3694  
Docket No. CULLP0177US

**REQUEST FOR CONTINUED EXAMINATION (RCE)**

MS RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application. (Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application.)

1. Submission required under 37 CFR 1.114

- a.  Previously submitted
  - i.  Consider the amendment(s)/reply under 37 CFR 1.116 previously mailed or filed on <>. (Any unentered amendment(s) referred to above will be entered).
  - ii.  Consider the arguments in the Appeal Brief or Reply Brief previously filed on <>.
  - iii.  Other:
- b.  Enclosed
  - i.  Amendment/Reply
  - ii.  Affidavit(s)/Declaration(s)
  - iii.  Information Disclosure Statement
  - iv.  Other:

2. Miscellaneous

- a.  Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of  one  two  three months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)
- b.  Other:

3. Fees (The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.)

- a.  The Director is hereby authorized to charge the following fees, or credit any overpayments, to Deposit Account No 18-0988 (under the above-shown Docket No.)
  - i.  RCE fee required under 37 CFR 1.17(e)
  - ii.  Other: any balance due.
- b.  Enclosed is a check in the amount of \$ <> .

c.  Payment by credit card

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

d.  The Director is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No 18-0988 (under the above-shown Docket No.)

Respectfully submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

/Don W. Bulson/

By \_\_\_\_\_  
Don W. Bulson, Reg. No. 28,192

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent application of:

Applicant(s): Jeffrey Bruce McGeorge  
Serial No: 10/415,022  
Filing Date: September 5, 2003  
Title: TRADING SYSTEM  
Examiner: Ella Colbert  
Art Unit: 3694  
Docket No. CULLP0177US

**REPLY TO OFFICE ACTION DATED NOVEMBER 27, 2007**

MS RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Favorable reconsideration of the above-referenced application is respectfully requested in view of the following part(s) of this reply:

Amendments to the Claims  
Remarks

Enclosures:  Credit Card Payment  
 Petition for Extension of Time  
 Information Disclosure Statement

In the event any fee or additional fee is due in connection with the filing of this paper, the Commissioner is authorized to charge those fees to our Deposit Account No. 18-0988 (under the above Docket Number). In the event an extension of time is needed to make the filing of this paper timely and no separate petition is attached, please consider this a petition for the requisite extension and charge the fee to our Deposit Account No. 18-0988 (under the above Docket Number).

## Amendments to the Claims

1. (currently amended) A method of informing users of stock market events comprising the steps of:

(a) receiving real-time stock market data on a network of computers;

(b) the network of computers receiving instructions from a user to specify stock market technical analysis criteria to be applied to the stock market data relating to at least one stock to arrive at at least one user-specified technical analysis indicator value which signals the occurrence of a change in stock value significant to the user and to forward to the user notification of the occurrence of an event defined by the user-specified stock market technical analysis criteria as real-time changes in the stock market data via a remote communications device;

(c) the network of computers applying the user-specified stock market technical analysis criteria to the real-time stock market data in real-time to arrive at at least one calculated technical analysis indicator value based on the real-time stock market data; and

(d) the network of computers causing a real-time notification to be provided to the user via the a remote communications device upon the occurrence of an event the change in stock value significant to the user defined by comparing the at least one calculated technical analysis indicator value to the at least one user-specified technical analysis indicator value as real-time changes in the stock market data occur, arising from the application of the user-specified stock market technical analysis criteria to the stock market data the real-time notification directed to a remote communications device of the user.

2. (previously presented) A method as claimed in claim 1, wherein the receiving step includes receiving instructions from the user to provide technical analysis criteria for specific stocks, and providing the requested technical analysis criteria for the specific stocks via the remote communications device.

3. (previously presented) A method as claimed in claim 1, wherein the receiving step includes receiving instructions from the user to provide technical analysis

criteria of overall stock market trends, and providing the requested technical analysis criteria of the overall stock market trends via the remote communications device.

4. (previously presented) A method as claimed in claim 1, wherein the remote communications device comprises a users fixed or mobile telephone, a personal computing device, a facsimile or pager of the user.

5-9. (cancelled)

## Remarks

The various parts of the Office Action (and other matters, if any) are discussed below under appropriate headings.

### ***Claim Rejections - 35 U.S.C. § 112***

Claim 1 has been amended to amend the phrase "occurrence of an event" to read "occurrence of a change in stock value significant to the user". This should resolve any issue regarding any indefiniteness in claim 1.

### ***Claim Rejections - 35 U.S.C. § 101***

Reconsideration of the rejection under 35 U.S.C. § 101 is respectfully requested in view of the amendments made to claim 1. It is respectfully submitted that the claims are directed to a useful, concrete and tangible result.

The Examiner contended that claim 1 "does not produce tangible results, but merely determinations. These determinations might remain entirely inside the mind of the person doing the determining. These results are not tangible and concrete, and thus not eligible subject matter, and thus are rejected."

In response, the claims of the application have been amended to clarify the operation of the method of the invention in order to highlight further the "useful, concrete and tangible result" to which the claims are directed.

The method of claim 1 does produce tangible results, in the form of a real-time notification which is forwarded to the user via a remote communications device. The "determinations" to which the Examiner is referring are not determinations as such but are instead a comparison of the calculated technical analysis indicator values which are arrived at by application of the user-specified technical analysis criteria to the real-time stock market data which is received on the network of computers. Once the computer scanner identifies that the calculated technical analysis indicator values meet the user-specified technical analysis indicator values, a real-time notification issues and is sent to the user's remote communication device to advise the user of the match.

So, the "determinations" referred to by the Examiner do not occur in the mind of a person doing the determining as there is no such person. The "determinations" are performed by the network of computers.

Claim 1 also provides the further action of causing a real-time notification to be provided to the user. The real-time notification is a real-world result, as the notification is forwarded to a remote communications device of the user.

Therefore, in terms of the features of claim 1 that are directed to a useful, concrete and tangible result, the following further comments are provided:

1. Useful - the method is useful as it produces and communicates a real-time technical analysis alert to a user to notify the user of the occurrence of a change in a stock which the user has requested that he be notified of allowing the user to take advantage of the change;
2. Concrete - the method is substantially repeatable, producing a notification to a user whenever the at least one calculated technical analysis indicator value matches at least one user-specified technical analysis indicator value; and
3. Tangible - the "real-world" result is the production and communication of the notification of the change in the stock to the user via the remote communications device of the user.

### ***Claim Rejections - 35 U.S.C. § 102 and § 103***

The Examiner contends that the claims are anticipated by WO 00/11587 (Satow) or obvious in the light of Satow in view of US 6317728 (Kane).

The Examiner's comments regarding claim 1 on page 5 of the Office Action have been carefully considered, but the features (b) and (c) of claim 1, which the Examiner contends are disclosed at particular portions of Satow, are clearly not disclosed at those portions.

For instance, the Examiner contends that feature (b) of claim 1 is taught at page 6, line 14 through page 7, line 11 and Figure 2 (212) of Satow. This portion of the Satow document discloses a system to match a user's buy and sell characteristics of a stock with the available characteristics of the stock in real time. It is well known in the art that buy and sell data is perhaps the simplest of all data available in relation to a stock and the data required or used in technical analysis, is more complex with more trading parameters of the stock utilised, typically including at least price and volume traded.

Again, as pointed out in the response to the first Office Action, Satow does not teach technical analysis. Satow has not been found to include any disclosure at all of taking incoming stock market details, applying technical analysis criteria to those incoming details to produce a technical analysis indicator value, and then notifying the user when the calculated technical analysis indicator value matches a user specified technical analysis indicator value. The Satow system matches a user's desired stock price with stock once it reaches that price, purchases the stock and notifies the user that the stock has been purchased.

The Satow system only matches real-time stock price (not volume of stock traded in a deal) with the user's desired stock price in order to gauge when to buy the stock. There is no technical analysis discussed in Satow.

In contrast, the method of claim 1 enables a system where a user can provide complex parameters to a computer network which then takes incoming live trading data (e.g. price and volume), performs technical analysis on the incoming live trading data to establish an underlying value of stock, compares the underlying value of the stock to the use specified parameters, and then notifies the user when their parameters are met.

The basic difference between Satow and the method of claim 1 is that Satow merely monitors stock price and the number of stocks available and matches those with the users requirements. The method of the present invention analyses the underlying value of the stock using technical analysis and then notifies the user in real time when the user technical analysis criteria are met.

The Satow system and the method of claim 1 admittedly have similarities, namely both take instructions from a user, and compare the instructions to stock market data. The Satow system, however, actually conducts a transaction in relation to the share when the instructions match the data and then notifies the user, whereas the present invention receives the data, performs complex analysis on the data according to the user's instructions, and then simply notifies the user of any matches that occur.

Similarly, the secondary reference, Kane, is used only to disclose a remote communications device of particular types and therefore does not anticipate nor render obvious the claimed method.

As to obviousness, given the simplicity of the Satow system and the complexity of the present system in performing technical analysis and comparing to user specified parameters, as well as the lack of teaching of technical analysis being used in Satow, it