

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Jeffery Bruce McGeorge	§	Attorney Docket No.: PGR-2012-111
United States Patent No.: 7,941,357	§	
Formerly Application No.: 10/451022	§	
Issue Date: January 25, 2011	§	
PCT Filing Date: October 26, 2001	§	Case No: CBM2013-00005
Former Examiner: Ella Colbert	§	Patent Owner: Market-Alerts Pty Ltd

For: Trading System

MAIL STOP PATENT BOARD
Patent Trial and Appeal Board
United States Patent and Trademark Office
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Alexandria, Virginia 22313-1450

MANDATORY NOTICES PURSUANT TO 37 C.F.R. § 42.8

Pursuant to 37 C.F.R. § 42.8, on behalf of and acting in a representative capacity for patent owner, Market-Alerts Pty Ltd (“Patent Owner”), the undersigned hereby submits the following mandatory notices in response to the Petition for Covered Business Method Patent Review of United States Patent No. 7,941,357 (“Petition”) filed on October 15, 2012 and assigned Case No. CBM2013- 00005.

REAL PARTY-IN-INTEREST

In accordance with 37 C.F.R. § 42.8(b)(1), Patent Owner identifies the real parties-in-interest as follows:

Patent Owner and Respondent
MARKET-ALERTS PTY LTD.

Petitioners and Defendants in Related Matters
BLOOMBERG INC.
BLOOMBERG L.P.
BLOOMBERG FINANCE L.P.
THE CHARLES SCHWAB CORPORATION
CHARLES SCHWAB & CO., INC.

E*TRADE FINANCIAL CORPORATION
E*TRADE SECURITIES LLC
E*TRADE CLEARING LLC
OPTIONSXPRESS HOLDINGS INC.
OPTIONSXPRESS, INC.
TD AMERITRADE HOLDING CORP.
TD AMERITRADE, INC.
TD AMERITRADE IP COMPANY, INC.
THINKORSWIM GROUP INC.

Defendants in Related Matters

ESIGNAL.COM, INC.
IBG LLC
INTERACTIVE BROKERS CORP.
INTERACTIVE BROKERS LLC
INTERACTIVE DATA CORPORATION
LIGHTSPEED FINANCIAL, INC.
LIGHTSPEED TRADING, LLC
OM SECURITIES, LLC D/B/A TRADE MONSTER
OPTIONMONSTER HOLDINGS, INC.
RECOGNIA (U.S.) INC.
RECOGNIA, INC.
SCHWAB HOLDINGS, INC.
TRADEKING GROUP, INC.
TRADEKING HOLDINGS, LLC
TRADEKING, LLC

RELATED MATTERS

Patent Owner identifies the following judicial or administrative matters related to U.S.

Patent No. 7,941,357 and Trial No. CBM2013-00005:

- i.) *Markets-Alert Pty. Ltd. v. Bloomberg Finance L.P. et al.*
Civil Action No. 1:12-CV-00780-GMS, D. Del. (filed June 20, 2012)
- ii.) *Markets-Alert Pty. Ltd. v. The Charles Schwab Corporation et al.*
Civil Action No. 1:12-CV-00781-GMS, D. Del. (filed June 20, 2012)
- iii.) *Markets-Alert Pty. Ltd. v. E*Trade Clearing LLC et al.*
Civil Action No. 1:12-CV-00782-GMS, D. Del. (filed June 20, 2012)
- iv.) *Markets-Alert Pty. Ltd. v. TD Ameritrade Holding Corp. et al.*
Civil Action No. 1:12-CV-00783-GMS, D. Del. (filed June 20, 2012)
- v.) *Markets-Alert Pty. Ltd. v. OM Securities LLC et al.*

Civil Action No. 1:12-CV-00784-GMS, D. Del. (filed June 20, 2012)

vi.) *Markets-Alert Pty. Ltd. v.eSignal.com Inc. et al.*
Civil Action No. 1:12-CV-00785-GMS, D. Del. (filed June 20, 2012)

LEAD AND BACK-UP COUNSEL

In accordance with 37 C.F.R. § 42.8(b)(3), Patent Owner identifies Andrew Choung as lead counsel and William Fitzpatrick as back-up counsel:

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SERVICE INFORMATION

In accordance with 37 C.F.R. § 42.8(b)(4), Patent Owners identify the following service information:

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The undersigned attorneys welcome a telephone call should the Office have any requests
or questions.

Respectfully Submitted,

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November 5, 2012

CERTIFICATE OF SERVICE

I certify that a copy of the foregoing Patent Owner's Mandatory Notice Pursuant to 37 C.F.R. § 42.8 was served on November 5, 2012 by causing it to be deposited in the United States Postal Service as Express Mail (Label No. _____) postage pre-paid in an envelope addressed to counsel for petitioner at the following address:

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