

UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE PATENT TRIAL AND APPEAL BOARD

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**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., and thinkorswim Group Inc.  
Petitioner,

v.

MARKETS-ALERT PTY LTD.  
Patent Owner.

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Case CBM2013-00005 (JYC)  
Patent No. 7,941,357

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**PETITIONERS' LIST OF EXHIBITS**  
**(37 C.F.R. § 42.63(e))**

## LIST OF CITED EXHIBITS

- Exhibit 1001 U.S. Patent No. 7,941,357 (issued May 10, 2011).
- Exhibit 1002 Declaration of Steven R. Kursh, Ph.D., CSDP, CLP.
- Exhibit 1003 Stephen R. Kursh, *curriculum vitae*.
- Exhibit 1004 PCT Patent Application No. PCT/US99/18767, Publication No. WO 00/11587 (published Mar. 2, 2000)(Michael Satow *et al.*, applicants).
- Exhibit 1005 John Sweeney, *Product Review: TradeStation 4.0 Build 15*, Stocks & Commodities, December 1996, at 649.
- Exhibit 1006 *TS Main* (Nov. 13, 1996), available at <http://web.archive.org/web/19961113010600/http://omegaresearch.com/tsmain.htm>.
- Exhibit 1007 *TradeStation Features* (Nov. 13, 1996), available at <http://web.archive.org/web/19961113010630/http://omegaresearch.com/tsfeatur.htm>.
- Exhibit 1008 *TradeStation Pager Alert* (Nov. 13, 1996), available at <http://web.archive.org/web/19961113010704/http://omegaresearch.com/tspgmain.htm>
- Exhibit 1009 *Window On WallStreet Internet Trader Deluxe User's Guide*, 1998.
- Exhibit 1010 *Window On WallStreet Internet Trader Pro 7 – Alert Manager* (Dec. 3, 1998), available at <http://web.archive.org/web/19981203133004/http://www.windowonwallstreet.com/Alertmanager.html>.
- Exhibit 1011 *Window On WallStreet Day Trader 7 Internet Version* (Apr. 23, 1999), available at <http://web.archive.org/web/19990423090801/http://www.windowonwallstreet.com/dt7internet.html>.
- Exhibit 1012 *Window On WallStreet Internet Trader Pro 7 – Tour Overview* (Dec. 7, 1998), available at <http://web.archive.org/web/19981207032249/http://www.windowonwallstreet.com/touroverview.html>.
- Exhibit 1013 *Window On WallStreet Internet Trader Pro 7 – What's New?* (Dec. 2, 1998), available at <http://web.archive.org/web/19981202154050/http://www.windowonwallstreet.com/whatsnew.html>.
- Exhibit 1014 Paul Luebbe, *AIQ Opening Bell Monthly* Vol. 8, Issue 10, October 1999.
- Exhibit 1015 U.S. Patent 5,954,793 (issued Sep. 21, 1999).

- Exhibit 1016 Geoff Ficke, *Carrier Pigeons Helped Create the Worlds Most Famous Banking Fortune*, Ezine Articles, available at <http://ezinearticles.com/?Carrier-Pigeons-Helped-Create-the-Worlds-Most-Famous-Banking-Fortune&id=1711198>.
- Exhibit 1017 Alexander Elder, *Trading for a Living* (John Wiley & Sons, 1993) at 69
- Exhibit 1018 Complaint, *Markets-Alert Pty. v. Bloomberg Finance L.P.*, No. 1:12-cv-00780-GMS (D. Del June 20, 2012).
- Exhibit 1019 Complaint, *Markets-Alert Pty. v. The Charles Schwab Corp.*, No. 1:12-cv-00781-GMS (D. Del June 20, 2012).
- Exhibit 1020 Complaint, *Markets-Alert Pty. v. TD Ameritrade Holding*, No. 1:12-cv-00783-GMS (D. Del June 20, 2012).
- Exhibit 1021 Complaint, *Markets-Alert Pty. v. E\*Trade Clearing LLC*, No. 1:12-cv-00782-GMS (D. Del June 20, 2012).
- Exhibit 1022 Complaint, *Markets-Alert Pty. v. OM Securities, LLC*, No. 1:12-cv-00784-GMS (D. Del June 20, 2012).
- Exhibit 1023 Complaint, *Markets-Alert Pty. v. eSignal.com, Inc.*, No. 1:99-mc-09999 (D. Del June 20, 2012).
- Exhibit 1024 Image File Wrapper, U.S. Patent No. 7,941,357 (issued May 10, 2011).
- Exhibit 1025 *LINN SOFTWARE Investment Software – What’s New in 4.6* (August 16, 2000), available at <http://web.archive.org/web/20000816063115/http://www.linnsoft.com/new/index.html>.
- Exhibit 1026 *Investor/RT Tour* (August 18, 2000), available at <http://web.archive.org/web/20000818211350/http://www.linnsoft.com/tour/index.htm>.
- Exhibit 1027 *Investor/RT Tour – Technical Indicators* (May 12, 2000), available at <http://web.archive.org/web/20000512005220/http://www.linnsoft.com/tour/technicalindicators.htm>.
- Exhibit 1028 *Investor/RT Tour – Alarm Preferences* (May 22, 2000), available at [http://web.archive.org/web/200005222325275/http://www.linnsoft.com/tour/prefs\\_alarms.htm](http://web.archive.org/web/200005222325275/http://www.linnsoft.com/tour/prefs_alarms.htm).
- Exhibit 1029 *Investor/RT Tour – Alarms/Alerts* (August 19, 2000), available at <http://web.archive.org/web/200008190803135/http://www.linnsoft.com/tour/alerts.htm>.
- Exhibit 1030 *Investor/RT Tour – myTrack Preferences* (February 29, 2000), available at

- [http://web.archive.org/web/20000229053607/http://www.linnsoft.com/tour/prefs\\_mytrack.htm](http://web.archive.org/web/20000229053607/http://www.linnsoft.com/tour/prefs_mytrack.htm).
- Exhibit 1031 *Investor/RT Tour –Scans* (February 29, 2000), available at <http://web.archive.org/web/20000229160235/http://www.linnsoft.com/tour/scans.htm>.
- Exhibit 1032 *Investor/RT Tour – Instrument Setup* (April 7, 2000), available at <http://web.archive.org/web/20000407193607/http://linnsoft.com/tour/instrumentsetup.htm>.
- Exhibit 1033 Press Release, PR Newswire, Data Broadcasting Launches Esignal Version 5.3 with Enhanced Alerts Capabilities And Improved Nasdaq Level II Tools (June 12, 2000).
- Exhibit 1035 Transcript of the August 28, 2013 deposition of Markets-Alert’s technical expert, Mr. Neal Goldstein
- Exhibit 1036 U.S. Patent 7,873,555 to Kraemer
- Exhibit 1037 PCT WO00/28487 to Chrapaty
- Exhibit 1038 PCT WO98/58356 to Keilani
- Exhibit 1039 PCT WO00/33217 to Ambrose
- Exhibit 1040 U.S. Patent 5,938,732 to Lim
- Exhibit 1041 U.S. Patent 4,554,418 to Toy
- Exhibit 1042 Errata sheets for transcript of Mr. Neil Goldstein’s August 28, 2013 deposition
- Exhibit 1044 Transcript of the August 20, 2013 deposition of Markets-Alert’s expert, Mr. Graham Maxwell Lindsay, filed herewith
- Exhibit 1045 Second Declaration of Graham Maxwell Lindsay, as provided to Petitioners by Markets-Alert, filed herewith
- Exhibit 1046 Petitioners’ Demonstrative Exhibits for Oral Hearing

## CERTIFICATE OF SERVICE

Pursuant to 37 C.F.R. § 42.63(e), the undersigned certifies that the foregoing Petitioners' List of Exhibits was served electronically on December 16, 2013 at the following addresses of record for the subject patent:

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