

UNITED STATES PATENT AND TRADEMARK OFFICE

---

BEFORE THE PATENT TRIAL AND APPEAL BOARD

---

TD AMERITRADE HOLDING CORP., TD AMERITRADE, INC., and  
TD AMERITRADE ONLINE HOLDINGS CORP.,  
Petitioners

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.,  
Patent Owner

---

Case CBM2014-00131  
Patent 7,533,056

---

**PETITIONERS' UPDATED EXHIBIT LIST**

***Mail Stop "PATENT BOARD"***  
Patent Trial and Appeal Board  
U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to Order (Paper 27) and further to 37 C.F.R. § 42.63(e), Petitioners TD Ameritrade Holding Corp., TD Ameritrade, Inc. and TD Ameritrade Online Holdings Corp. hereby submit a current listing of Exhibits to counsel for Patent Owner, Trading Technologies International, Inc.

**Petitioner's Updated Exhibit List**

<b>Exh. No.</b>	<b>Description</b>
<b>1001</b>	U.S. Patent No. 7,533,056 to Friesen et al. ("056 patent")
<b>1002</b>	File History of Application Ser. No. 11/417,544, which became the '056 patent, as filed and obtained from PAIR ("056 Patent File History")
<b>1003</b>	"Futures/Option Purchasing System Trading Terminal Operation Guide," Tokyo Stock Exchange ("TSE JP")
<b>1004</b>	Certified Translation of "Futures/Option Purchasing System Trading Terminal Operation Guide" ("TSE")
<b>1005</b>	Certificate of Translation for "Futures/Option Purchasing System Trading Terminal Operation Guide" ("TSE Certificate")
<b>1006</b>	Memorandum from James M. Hilmert to eSpeed file regarding direct examination of TSE's 30(b)(6) witness, dated December 5, 2005 ("Depo. Letter")
<b>1007</b>	Deposition Transcript of Atsushi Kawashima, <i>Trading Technologies International, Inc., v. eSPEED, Inc.</i> , Case No. 04-cv-5312, United States District Court, Northern District of Illinois, Eastern Division, dated November 21, 2005 ("Depo. Transcript")
<b>1008</b>	U.S. Patent No. 5,375,055 to Togher et al. ("Togher")
<b>1009</b>	U.S. Patent No. 5,619,631 to Schott ("Schott")
<b>1010</b>	U.S. Patent No. 5,136,501 to Silverman et al. ("Silverman")
<b>1011</b>	U.S. Patent No. 5,414,809 to Hogan et al. ("Hogan")
<b>1012</b>	U.S. Patent No. 5,297,031 to Gutterman et al. ("Gutterman")

<b>1013</b>	U.S. Patent No. 5,454,104 to Steidlmayer et al. (“Steidlmayer”)
<b>1014</b>	Reuters Globex User Guide, June 1995 (“Globex”)
<b>1015</b>	Alan Cooper, “About Face: The Essentials of User Interface Design,” First Edition, 1995. (“Cooper”)
<b>1016</b>	Edward R. Tufte, “The Visual Display of Quantitative Information,” 1983 (“Tufte VDQI”)
<b>1017</b>	Edward R. Tufte, “Envisioning Information,” Third Edition, December 1992 (“Tufte EI”)
<b>1018</b>	Ben Shneiderman, “Designing the User Interface: Strategies for Effective Human-Computer Interaction,” Third Edition, 1998 (“Shneiderman”)
<b>1019</b>	Sunny J. Harris, “Trading 101 – How to Trade Like a Pro,” 1996 (“Harris”)
<b>1020</b>	Robert Deel, “The Strategic Electronic Day Trader,” 2000 (“Deel”)
<b>1021</b>	Sun Microsystems, Inc., “Open Look™ Graphical User Interface Functional Specification,” November 1989 (“Open Look”)
<b>1022</b>	Valerie Quercia et al., “X Window System User’s Guide,” OSF/Motif 1.2 Edition, The Definitive Guides to the X Window System, Vol. 3, August 1993 (“Quercia”)
<b>1023</b>	Richard W. Arms Jr., “Profits in Volume - Equivolume Charting,” 1975 (“Arms”)
<b>1024</b>	Definition of “default,” The Computer Glossary, Fifth Edition, 1991 page 175. (“Computer Glossary”)
<b>1025</b>	Definition of “default,” The Illustrated Dictionary of Microcomputers, Third Edition, 1990, page 90. (“Illustrated Dictionary”)
<b>1026</b>	Definition of “default,” Webster’s New World College Dictionary, Fourth Edition, 2007, page 378. (“Webster’s”)
<b>1027</b>	Microsoft Computer Dictionary, Fifth Edition, 2002, pages 102, 150, 174, 176, and 348 (“Microsoft Computer Dictionary”)
<b>1028</b>	Defendants’ Memorandum of Law In Support of Joint Motion for Summary Judgment That the ’056 Patent is Invalid Under 35 U.S.C. § 112 ¶ 1 for Lack of Written Description, <i>Trading Technologies</i>

	<i>International, Inc. v. BCG Partners, Inc.</i> , Case No. 1:10-cv-00715, United States District Court for the Northern District of Illinois, Eastern Division, filed August 15, 2011 (“SJ Motion”)
<b>1029</b>	Trading Technologies International Inc.’s (1) Opposition to Defendants’ Joint Motion for Summary Judgment That the ’056 Patent is Invalid Under 35 U.S.C. § 112 ¶ 1 for Lack of Written Description and (2) Cross Motion for Summary Judgment That the ’056 Patent Meets the Written Description Requirement Set Forth in 35 U.S.C. § 112 ¶ 1, <i>Trading Technologies International, Inc. v. BCG Partners, Inc.</i> , Case No. 1:10-cv-00715, United States District Court for the Northern District of Illinois, Eastern Division, filed September 14, 2011 (“SJ Opposition”)
<b>1030</b>	Memorandum Opinion and Order, <i>Trading Technologies International, Inc. v. BCG Partners, Inc.</i> , Case No. 1:10-cv-00715, United States District Court for the Northern District of Illinois, Eastern Division, filed February 9, 2012 (“SJ Opinion”)
<b>1031</b>	Vernon L. Smith, “An Experimental Study of Competitive Market Behavior,” <i>The Journal of Political Economy</i> , Vol. LXX, No. 2, April 1962 (“Smith”)
<b>1032</b>	Declaration of Kendyl A. Román (“Román Decl.”)
<b>1033</b>	Curriculum Vitae of Kendyl A. Román (“Román CV”)
<b>1034</b>	List of Materials Considered by Kendyl A. Román (“Román List of Materials”)
<b>1035</b>	Official Transcript of Conference Call held January 20, 2015
<b>1036</b>	Declaration of Ronald E. Skidmore
<b>1037</b>	Declaration of Maho Taniguchi-Speller
<b>1038</b>	Declaration of Eiken Hino

1039	Declaration of Akiko Rosenberry
------	---------------------------------

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Lori A. Gordon (Reg. No. 50,633)  
Jonathan M. Strang (Reg. No. 61,724)  
Attorneys for Petitioners

Date: January 26, 2015  
1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600

# Explore Litigation Insights

Docket Alarm provides insights to develop a more informed litigation strategy and the peace of mind of knowing you're on top of things.

## Real-Time Litigation Alerts



Keep your litigation team up-to-date with **real-time alerts** and advanced team management tools built for the enterprise, all while greatly reducing PACER spend.

Our comprehensive service means we can handle Federal, State, and Administrative courts across the country.

## Advanced Docket Research



With over 230 million records, Docket Alarm's cloud-native docket research platform finds what other services can't. Coverage includes Federal, State, plus PTAB, TTAB, ITC and NLRB decisions, all in one place.

Identify arguments that have been successful in the past with full text, pinpoint searching. Link to case law cited within any court document via Fastcase.

## Analytics At Your Fingertips



Learn what happened the last time a particular judge, opposing counsel or company faced cases similar to yours.

Advanced out-of-the-box PTAB and TTAB analytics are always at your fingertips.

## API

Docket Alarm offers a powerful API (application programming interface) to developers that want to integrate case filings into their apps.

## LAW FIRMS

Build custom dashboards for your attorneys and clients with live data direct from the court.

Automate many repetitive legal tasks like conflict checks, document management, and marketing.

## FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

## E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.