

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

TD AMERITRADE HOLDING CORPORATION,
TD AMERITRADE, INC., and
TD AMERITRADE ONLINE HOLDINGS CORP.
Petitioner

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.
Patent Owner

Case CBM2014-00133
U.S. Patent No. 7,676,411

**PATENT OWNER'S MANDATORY NOTICES
PURSUANT TO 37 C.F.R. § 42.8**

Pursuant to 37 C.F.R. § 42.8(a)(2), Patent Owner Trading Technologies International, Inc. ("Trading Technologies") hereby submits the following mandatory notices in connection with this proceeding.

I. TRADING TECHNOLOGIES' POWER OF ATTORNEY

A Power of Attorney appointing lead and back-up counsel is being filed concurrently with these Notices.

II. TRADING TECHNOLOGIES' MANDATORY NOTICES

(a) 37 C.F.R. § 42.8(b)(1): Real Party-in-Interest

The real party in interest for the Patent Owner is Trading Technologies International, Inc.

(b) 37 C.F.R. § 42.8(b)(2): Related Matters¹

Trading Technologies identifies the following pending judicial matters that would affect, or be affected by, a decision in this proceeding:

Trading Techs. Int'l, Inc. v. Open E Cry, LLC, Case No. 1:10-cv-00885

(N.D. Ill.);

Trading Techs. Int'l, Inc. v. Tradestation Sec., Inc., Case No. 1:10-cv-00884

(N.D. Ill.);

Trading Techs. Int'l, Inc. v. thinkorswim Grp., Inc., Case No. 1:10-cv-00883

(N.D. Ill.);

Trading Techs. Int'l, Inc. v. IBG LLC, Case No. 1:10-cv-00721 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. FuturePath Trading, LLC, Case No. 1:10-cv-00720 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. CQG, Inc., Case No. 1:10-cv-00718 (N.D. Ill.);

¹ To ensure completeness, Patent Owner has listed all proceedings relating to the U.S. Patent No. 7,676,411 or a family member of U.S. Patent No. 7,676,411.

Trading Techs. Int'l, Inc. v. Sungard Data Sys., Inc., Case No. 1:10-cv-00716 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. FuturePath Trading, LLC, Case No. 1:05-cv-05164 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. CQG, Inc., Case No. 1:05-cv-04811 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. GL Consultants, Inc., Case No. 1:05-cv-04120 (N.D. Ill.).

Trading Technologies identifies the following settled, terminated, or completed judicial matters related to this patent:

GL Trade Ams., Inc. v. Trading Techs. Int'l, Inc., Case No. 1:11-cv-01558 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. TradeHelm, Inc., Case No. 1:10-cv-00931 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. Rosenthal Collins Grp., LLC, Case No. 1:10-cv-00929 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. Stellar Trading Sys., Ltd., Case No. 1:10-cv-00882 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. Cunningham Trading Sys., LLC, Case No. 1:10-cv-00726 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. BCG Partners, Inc., Case No. 1:10-cv-00715
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. Orc Software, Inc., Case No. 1:05-cv-06265
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. Transmarket Grp., Case No. 1:05-cv-05161
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. FFastFill PLC, Case No. 1:05-cv-04449 (N.D.
Ill.);

Trading Techs. Int'l, Inc. v. Strategy Runner, Ltd., Case No. 1:05-cv-04357
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. Rolfe and Nolan Sys. Inc., Case No. 1:05-cv-
04354 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. RTS Realtime Sys., Inc., et al. Case No. 1:05-cv-
04332 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. Peregrine Fin. Grp., Inc., Case No. 1:05-cv-
04137 (N.D. Ill.);

Rosenthal Collins Grp., LLC vs. Trading Techs. Int'l, Inc., Case No. 1:05-
cv-04088 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. Ninja Trader, LLC, Case No. 1:05-cv-03953
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. Patsystems NA, LLC, Case No. 1:05-cv-02984
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. Man Grp. PLC, Case No. 1:05-cv-02164 (N.D.
Ill.); *CQGT, LLC v. Trading Techs. Int'l, Inc.*, Case No. 1:05-cv-01584 (D. Colo.);

Trading Techs. Int'l, Inc. v. Refco Grp., Ltd. LLC, Case No. 1:05-cv-01079
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. Kingstree Trading, LLC, Case No. 1:04-cv-
06740 (N.D. Ill.);

Trading Techs. Int'l, Inc. v. Goldenberg Hehmeyer, Case No. 1:04-cv-06278
(N.D. Ill.);

Trading Techs. Int'l, Inc. v. eSpeed Inc., Case No. 1:04-cv-05312 (N.D. Ill.).

Trading Technologies identifies the following administrative matters related
to this patent:

Reexamination Control No. 90/008,577 (U.S. Patent No. 6,766,304);

Reexamination Control No. 90/008,576 (U.S. Patent No. 6,772,132);

Reexamination Control No. 90/011,250 (U.S. Patent No. 6,772,132);

CBM2014-00136 (U.S. Patent No. 6,766,304);

CBM2014-00135 (U.S. Patent No. 6,772,132);

CBM2014-00137 (U.S. Patent No. 7,685,055).

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