

Paper No. \_\_\_\_\_  
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UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE PATENT TRIAL AND APPEAL BOARD

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

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.  
Patent Owner

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Case CBM2014-00137  
Patent 7,685,055

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**Patent Owner's Response**

**TABLE OF CONTENTS**

I. INTRODUCTION..... 1

II. THE CLAIMS ARE DIRECTED TO STATUTORY SUBJECT MATTER IN SATISFACTION OF 35 U.S.C. § 101. ....3

A. The Patented Invention Solved Technical Problems with Prior GUIs .....3

    1. The Prior GUI and Associated Problems .....4

    2. The Claimed Solution to the Problem: A New GUI That Improved Speed and Usability .....6

B. The Claimed Features and Functionality of the Improved GUI Are An Inventive Concept, Not Conventional.....18

    1. The Claimed GUI Features Were the Inventive Contribution.....20

C. A New GUI Is New Technology .....22

D. The Current 101 Framework .....24

E. The Claims Are Patent Eligible Because There Is No Preemption Concern .....25

    1. The Claims Fail to Impermissibly Preempt Because There Is Evidence that Other Ways to Practice the Abstract Idea Using a Computer Exist.....26

    2. TT’s Prior Patent’s Disclose Non-Preempted Ways of Repositioning Market Information .....27

F. Under a Proper Application of the *Alice* Test, the Claims are Patent-Eligible under 35 U.S.C. 101. ....28

    1. The Claims Are Not Directed To the Abstract Idea Adopted In the Institution Decision.....28

    2. The Claims Recite An Inventive Concept Other Than An Abstract Idea.....30

G. The PTAB Should No Longer Adopt the Petition’s § 101 Analysis.....32

1. There Is No Evidence That the Claims Recite a Conventional GUI or an Abstract Idea.....32
2. Software Inventions Are Patentable Even If Performed On a Generic Computer .....33
3. New Case Law Confirms That the Claims are Patent Eligible .....36

III. ALL PRIOR ART GROUNDS SHOULD BE DISMISSED BECAUSE THE TSE TRANSLATION FILED BY TD (EXHIBIT 1008) SHOULD BE EXCLUDED OR GIVEN NO WEIGHT.....39

- A. The TSE Translation in Exhibit 1008 is Unreliable. ....40
- B. At Least Pages 101-140 Should Be Excluded for Failing to Comply with 37 C.F.R. § 42.63(B). ....41
- C. TD Failed to Show that the TSE Document is Prior Art. ....46
- D. Because The TSE Translation Should Be Excluded Or Given No Weight, The Board Should Dismiss The Prior Art Grounds And Hold That The ’055 Patent Is Not Unpatentable Based On The Instituted Grounds. ....48

IV. THE TSE TRANSLATION FILED BY TD (EXHIBIT 1008) IS SUBSTANTIVELY INACCURATE AND SHOULD BE GIVEN NO WEIGHT, AND THE BOARD SHOULD DISMISS THE PRIOR ART GROUNDS.....49

V. CLAIMS 1, 3, 4, 6-15, AND 17-19 ARE PATENTABLE OVER TSE .....53

- A. TSE Does Not Disclose Or Suggest Adjusting Price Levels Displayed Along A Static Price Axis, as Required by Independent Claims 1 And 17, and their Dependent Claims.....54
  1. Independent claims 1 and 17 require that the price levels be displayed along a *static* price axis before the adjustment. ....54
  2. TD points to a compressed method display in TSE, but this display includes no *static* price axis. ....54

B. TSE Also Does Not Disclose Or Suggest Any “Reposition Command To Reposition The Static Price Axis When A Designated Price Is Within A Designated Number Of Price Levels From The Lowest Value Or The Highest Value Along The Static Price Axis,” As Required By Independent Claims 1 And 17, And Their Dependent Claims.....56

1. TD’s arguments regarding this limitation are based on a flawed translation of TSE. ....56

2. The correct translation of TSE reveals that TSE fails to disclose or suggest any “designated number of price levels from the lowest value or the highest value along the static price axis,” as required by independent claims 1 and 17.....57

3. The Board cannot rely on TD’s flawed translation to find any of the claims unpatentable over TSE.....59

C. TSE Also Does Not Disclose Or Suggest “Receiving A Second Reposition Command To Reposition The Static Price Axis When A Timer Expires,” as Required by Dependent Claims 13 And 18. ....59

VI. CLAIMS 2 AND 5 ARE PATENTABLE OVER THE COMBINATION OF TSE AND GUTTERMAN.....60

VII. MR. RHO’S TESTIMONY SHOULD NOT BE GIVEN ANY WEIGHT BECAUSE HE WAS NEVER ONE OF ORDINARY SKILL IN THE ART. ....61

VIII. THE PTAB SHOULD DISMISS THE PROCEEDING BECAUSE IT LACKS JURISDICTION .....64

A. The Decision misapplied the technological invention test.....67

1. The claim limitations recite novel and nonobvious technology .....67

2. The claims recite a technological feature that is novel and nonobvious.....68

3. The claims solve technical problems with a technical solution .....70

IX. CONCLUSION.....73

## I. INTRODUCTION

The '055 patent is a continuation-in-part of the '132 patent, subject of CBM2014-00135, and builds upon the inventions disclosed in that patent, some of which are also claimed in U.S. Patent 6,766,304 (the “304 patent”), and U.S. Patent 7,676,411 (the “411 patent”).<sup>1</sup> The general field of art of this family of patents is the design and operation of graphical user interfaces (“GUIs”) used for electronic trading. *See* Ex. 2020, '132 patent, Field of Invention, 1:11-18 (“Specifically, the invention provides a trader with a versatile and efficient tool for executing trades. It facilitates the display of and the rapid placement of trade orders ...”).

The claimed invention is directed to patent eligible subject matter—the technical features of an innovative GUI. TI’s claims are rooted in computer technology—particular features and functionality of a specialized GUI (i.e., a graphical device/tool)—and are eligible under both steps of the two-part test set forth in *Alice*. First, because the claimed technical features are directed to a specific tool, the claimed invention does not preempt TD’s purported abstract idea of “repositioning market information on a graphical user interface.” Indeed, there are many ways of executing the purported abstract idea without utilizing the claimed invention. As such, the claimed invention is not directed to an abstract idea. Second, the claimed elements,

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<sup>1</sup> The '304 and '411 patents are the subject of CBM2014-00136 (not instituted) and CBM2014-0133, respectively (also filed by TD).

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