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## SUMMARY OF FACTS AND SUBMISSIONS

I. European Patent No. 1 319 211 entitled "Click-based trading with intuitive grid display of market depth" is based on European Patent Application No. 01920183.9 which was filed as International Patent Application No. PCT/US2001/006792 on 2 March 2001. The International Patent Application was published as WO 01/65403. The patent claims rights of priority from

P1 US Provisional Application for Patent No. 60/186,322, filed on 2 March 2000,

P2 US Patent Application No. 09/590,692, filed on 9 June 2000.

The grant of the patent was mentioned on 13 April 2005 in European Patent Bulletin 2005/15.

The **Proprietor** of the patent is:

Trading Technologies International, Inc  
Chicago, Illinois 60606 (US)

A notice of opposition was filed on 12 January 2006 by a group of common opponents:

**Opponent I:**

Rosenthal Collins Group LLC  
Chicago, Illinois 60606 (US)

Peregrine Financial Group Inc  
Chicago, Illinois 60603 (US)

GL Trade SA  
75002 Paris (FR)

CQG Inc  
Denver, Colorado 80265 (US)

Further notices on oppositions were filed on 12 and 13 January 2006 by:

**Opponent II:**

Deutsche Börse AG  
60487 Frankfurt am Main (DE)

**Opponent III:**

tick-IT GmbH  
40210 Düsseldorf (DE)

**Opponent IV:**

Anitra Medienprojekte GmbH  
81677 München (DE)

**Opponent V:**

Eccoware Limited  
London EC2N 2LS (UK)

The notices of oppositions will hereinafter be referred to as **OP1** to **OP5**, respectively.

- II. The following evidences were indicated in the notices of oppositions; the numbering is introduced by the opposition division and will be adhered to in the rest of the procedure:

- D1 WO 99/19821 A1 (Derivatives Net Inc.) 22 April 1999  
[in OP1: "D1"; in OP3: "E1"; in OP5: "D4"]
- D2 WO 99/53424 A1 (Impink) 21 October 1999  
[in OP1: "D2"]
- D3 WO 98/49639 A1 (Lawrie) 5 November 1998  
[in OP1: "D3"]
- D4 US 5 297 031 (Guterman et al.) 22 March 1994  
[in OP1: "D4"]
- D5 WO 91/14231 A1 (Chicago Board of Trade) 19 September 1991  
[in OP2: "E1"; in OP4: "A2"]
- D6 Tokyo Stock Exchange, *"Futures and Options Trading System - Transaction Terminal Operation Procedures"* (title also translated as *"System for Buying and Selling Futures and Options - Transaction Terminal Operational Guidelines"*), original Japanese version, August 1998  
[in OP1: "Exhibit 1"; in OP2: "E4"; in OP5: "D1(1)"]
- D6' Collection of pages of D6, original Japanese version, comprising: cover page, table of contents pages 1 to 4, pages 2-1, 3-6, 5-1, 7-1, 7-17, 7-21, 7-22, 7-25, 7-26, 9-5, appendix page 4-1 of D6  
[in OP1: part of "Exhibit 4 Japanese version", see pages "TSE" 628 to 643]

- D6a Partial English translation of D6 provided by Opponents I and V, translation of the following pages of D6:  
cover page, pages 5-2 to 5-19, 6-3 to 6-10, 6-24, 6-25, 7-13 to 7-20, 7-23, 7-24, 9-1 to 9-4, 9-6 to 9-32  
[in OP1: part of "Exhibit 2", from page "TSE" 647 to page "TSE" 810; in OP5: "D1(2)"]
- D6b Partial English translation of D6 provided by Opponents I and II, translation of the pages of D6 comprised in D6':  
cover page, table of contents pages 1 to 4, pages 2-1, 3-6, 5-1, 7-1, 7-17, 7-21, 7-22, 7-25, 7-26, 9-5, appendix page 4-1  
[in OP1: part of "Exhibit 4 English version", see pages "TSE" 628 to 643; in OP2: "E4 translation"]
- D6c Partial English translation of D6 provided by Opponent V, translation of the pages of D6 comprised in D6':  
cover page, table of contents pages 1 to 4, pages 2-1, 3-6, 5-1, 7-1, 7-17, 7-21, 7-22, 7-25, 7-26, 9-5, appendix page 4-1  
[in OP5: "D1(3)"]
- D7 Tokyo Stock Exchange, *"Orientation Materials for Participants - New Future Options Trading System"*, original Japanese version, September 1997  
[in OP1: part of "Exhibit 4 Japanese version", see pages "TSE" 609 to 627; in OP2: "E5"]
- D7a English translation of D7 provided by Opponents I and II  
[in OP1: part of "Exhibit 4 English version", see pages "TSE" 609 to 627; in OP2: "E5 translation"]
- D8 Tokyo Stock Exchange, *"Volume: Systems - Collected Records and Data, 50-Year History of the Tokyo Stock Exchange"*, original Japanese version, 31 July 2000  
[in OP1: part of "Exhibit 4 Japanese version", see pages "TSE" 644 to 646]
- D8a English translation of D8 provided by Opponent I  
[in OP1: part of "Exhibit 4 English version", see pages "TSE" 644 to 646]

- D9 *Notice of opposition by Tokyo Stock Exchange Inc.* filed on 18 April 2005 at the Japanese Patent Office, original Japanese version  
[in OP1: part of "Exhibit 4 Japanese version", see pages "TSE" 982 to 995]
- D9a English translation of D9 provided by Opponent I in "Exhibit 4 English version"  
[in OP1: part of "Exhibit 4 English version", see pages "TSE" 982 to 995]
- D9b English translation of D7 provided by Opponent I in "Exhibit 2"  
[in OP1: part of "Exhibit 2", see pages "TSE" 982 to 995]
- D10 *Transcript of deposition of Mr. Atsushi Kawashima* on 21 November 2005 in Case No. 04-C-5312 in The United States District Court for the Northern District of Illinois between Trading Technologies International, Inc. (Plaintiff) and eSpeed, Inc. (Defendant)  
[in OP1: "Exhibit 3"]
- D11 LIFFE, *"The Application Program Interface (API) Reference Manual - For LIFFE CONNECT, Release 2.7, September 1998"*  
[in OP1: "Exhibit 5"]
- D12 LIFFE, *"The Application Program Interface (API) Reference Manual - For LIFFE CONNECT, Release 3.0, September 1998"*  
[in OP1: "Exhibit 6"]
- D13 LIFFE, *"The Application Program Interface (API) Reference Manual - For LIFFE CONNECT, Release 3.1, September 1998"*  
[in OP1: "Exhibit 7A"]
- D14 LIFFE, *"The Application Program Interface (API) Reference Manual - For LIFFE CONNECT, Release 3.2, December 1998"*  
[in OP1: "Exhibit 7B"]
- D15 LIFFE, *"The Application Program Interface (API) Reference Manual - For LIFFE CONNECT, Release 3.3, January 1999"*  
[in OP1: "Exhibit 7C"]

- D16 LIFFE, *"Directory of Software Solutions - For LIFFE CONNECT"*, Issue 1, October 1998  
[in OP1: "Exhibit 8A"]
- D17 LIFFE, *"Directory of Software Solutions - For LIFFE CONNECT"*, Issue 2, February 1999  
[in OP1: "Exhibit 8B"]
- D18 LIFFE, *"Directory of Software Solutions - For LIFFE CONNECT"*, Issue 3, June 1999  
[in OP1: "Exhibit 8C"]
- D19 Slides of a presentation *"LIFFE's New Electronic Trading Platform for Futures"*, ISV Developers Conference, 24 September 1998  
[in OP1: "Exhibit 8D"]
- D20 Promotional material *"IRIS Investment Support Systems"*  
[in OP1: "Exhibit 10"]
- D21 *Transcript of deposition of Mr. Paul MacGregor* on 1 November 2005 in Case No. 04-C-5312 in The United States District Court for the Northern District of Illinois between Trading Technologies International, Inc. (Plaintiff) and eSpeed, Inc. (Defendant)  
[in OP1: "Exhibit 9A"]
- D22 LIFFE, *"APT Trading Procedures (Atom version) of the London International Financial Futures Exchange"*, 28 March 1991  
[in OP1: "Exhibit 9B"]
- D23 LIFFE, *"APT User Guide"*, January 1994  
[in OP1: "Exhibit 9C"]
- D24 LIFFE, *"Attachment to General Notice No. 788 - APT<sup>plus</sup> Trading Procedures"*, 28 December 1995  
[in OP1: "Exhibit 9D"]
- D25 GL Trade, *"GL TRADE - User Guide V4.51 - LIFFE CONNECT for Futures by GL TRADE"*, June 1999  
[in OP1: "Exhibit 11"]
- D25' Collection of pages of D25 comprising: cover page, pages 28, 29 and 31 to 35  
[in OP5: "D2"]

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