

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.
Petitioners

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.
Patent Owner

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

**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. 7,685,055 or a family member of U.S. Patent No. 7,685,055.

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);

CBM2014-00133 (U.S. Patent No. 7,676,411);

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

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

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.