GEOTEXT
Translations, Inc.

STATE OF NEW YORK)
)
) ss
COUNTY OF NEW YORK)

CERTIFICATION

This is to certify that the attached translation is, to the best of my knowledge and belief, a true and accurate translation from Japanese into English of excerpts from a document titled "Futures/Options Trading System Guidelines for Operating the Trading Terminals," issued by the Tokyo Stock Exchange, dated August 1998.

Naa Koshie Mills, Project Manager
Geotext Translations, Inc.

Sworn to and subscribed before me
this 20th day of June, 2005.

Robert A. Adler Jr.
Notary Public, State of New York
No.01AD6097048
Qualified in Kings County
Commission Expires August 18, 2007

REFCO 0006677

New York
259 West 30th Street, 17th Floor, New York, NY 10001
tel 212.631.7432 fax 212.631.7407 www.geotext.com
e-mail translations@geotext.com

San Francisco
220 Montgomery Street, 3rd Floor, San Francisco, CA 94104
tel 415.576.9500 fax 415.520.0525 www.geotext.com
e-mail sanfrancisco@geotext.com

DOCKET ALARM
Find authenticated court documents without watermarks at docketalarm.com.

Publication 2

Futures/Options Trading System
Guidelines for Operating the Trading Terminals

Tokyo Stock Exchange
Business Systems Department

REFCO 0006698

TSE0000000628

DOCKET ALARM
Find authenticated court documents without watermarks at docketalarm.com.

Table of Contents

Chapter 1: System Overview ---------- 1-1
1-1 System Structural Diagram ---------- 1-1
1-2 System Operating Hours ---------- 1-2
1-3 Constraints in Operating With Old Terminals ---------- 1-3

Chapter 2: Devices That Structure the Terminal System ---------- 2-1
2-1 Overview of the Structure of the Terminal System ---------- 2-1
2-2 Terminal Servers ---------- 2-3
2-3 Clients ---------- 2-5
2-4 Printers ---------- 2-12
2-5 Receipt Printers ---------- 2-16
2-6 Circuit Switching Equipment ---------- 2-17

Chapter 3: Basic Operations ---------- 3-1
3-1 Selecting Menu Items ---------- 3-1
3-2 Pointing Operations in Operating Windows ---------- 3-4
3-3 Moving Windows ---------- 3-5
3-4 Double Clicking With the Mouse ---------- 3-6
3-5 Displaying Shortcut Menus by Right Clicking With the Mouse ---------- 3-7
3-6 Operations when the "Send (Enter)" Key is Pressed ---------- 3-8
3-7 How to Close Windows ---------- 3-9

Chapter 4: Trading Products ---------- 4-1
4-1 The Bond Futures Market ---------- 4-2
4-2 The Bond Futures Options Market ---------- 4-5
4-3 The Index Futures Market ---------- 4-6
4-4 The Index Options Market ---------- 4-9
4-5 The Stock Options Market ---------- 4-10

Chapter 5: Screen Structures ---------- 5-1
5-1 The Main Window ---------- 5-1
5-2 Various Entry Windows ---------- 5-8
5-3 Various Query Response Windows ---------- 5-14

REFCO 0006699

TSE0000000629

DOCKET ALARM
Find authenticated court documents without watermarks at docketalarm.com.

Table of Contents

Chapter 6: User Settings When Using the Terminals ---------- 6-1
6-1 Setting Up the Types of Ancillary Information on Board/Quotation Screens ---------- 6-1
6-2 Setting Up the Board Screen Price Display Method ---------- 6-3
6-3 Format Settings for the Order Entry Windows ---------- 6-5
6-4 Automatic Setup for the Control Items (Either Self or Consigned) For Order Entry ---- 6-7
6-5 Setting Up the Entry Limit Quantities When Inputting New Orders ---------- 6-9
6-6 Setting Up the Destination Printer for Order/Contract Related Notifications ---------- 6-11
6-7 Setting Up the Destination Printer for One-way Communications Notifications, Such As Purchase Contract Balance Notifications ---------- 6-16
6-8 Setting Up the Destination Virtual Server for Order/Contract Related Notifications --- 6-19
6-8 [sic] Setting Up the Notification Output Timing for the Page Printer ---------- 6-22
6-9 Setting Up the Buzzer Tone For When a Notification Has Arrived in the Notification Display Area ---------- 6-24
6-10 Setting Up the Mouse Operations ---------- 6-25

Chapter 7: Board/Quotation Information Queries ---------- 7-1
7-1 Page Registration ---------- 7-1
7-2 Split Format ---------- 7-13
7-3 Board Screen ---------- 7-17
7-4 Quotation Screen ---------- 7-27

Chapter 8: The Notification Display Area ---------- 8-1
8-1 Structure of the Notification Display Area ---------- 8-1
8-1 Method of Displaying in the Notification Display Area ---------- 8-3
8-3 Notification Display in the Notification Display Area ---------- 8-5
8-4 Inputting Corrected Orders From the Notification Display Area ---------- 8-12

Chapter 9: Inputting Orders ---------- 9-1
9-1 Displaying the Order Entry Window ---------- 9-1
9-2 Entering New Orders ---------- 9-2
9-3 Inputting Sales/Purchase Lump Orders ---------- 9-16
9-4 Entering Edited (Canceled or Modified) Orders ---------- 9-23
9-5 Group Cancellation Instructions ---------- 9-36

Chapter 10: Queries ---------- 10-1
10-1 The Query Function ---------- 10-1
10-2 Board Detail Queries ---------- 10-5
10-3 Query of the Table of Orders By the Firm (Time Sequence) ---------- 10-8
10-4 Query of Order and Contract Histories ---------- 10-11
10-5 Query of Order Fulfillment Status ---------- 10-15

REFCO 0006700

TSE0000000630

DOCKET ALARM Find authenticated court documents without watermarks at docketalarm.com.

10-6 Query of Contract Statuses ---------- 10-18
10-7 Query of High Volume Contract Data Table ---------- 10-22
10-8 Query of Contract Records ---------- 10-24
10-9 Query of Settlement Price Table ---------- 10-26
10-10 Query of Security Money Calculation Base Price Table ---------- 10-27
10-11 Query of Order Information ---------- 10-29
10-12 Query of Settlement Information ---------- 10-30

Chapter 11: Inputting Resale/Buyback Quantities, Etc. ---------- 11-1
11-1 Overview of Inputting Resale/Buyback Quantities, Etc. ---------- 11-1
11-2 Points of Caution When Inputting Resale/Buyback Quantities, Etc. ---------- 11-2
11-3 Inputting Resale/Buyback of Futures Transactions ---------- 11-7
11-4 Inputting Resale/Buyback/Execution of Rights for Options Transactions ---------- 11-9
11-5 Inputting Resale/Buyback of Futures Accompanying the Execution of Rights to the Corresponding Options Transactions ---------- 11-12
11-6 Ending the Inputting of Resale/Buyback, etc. ---------- 11-14
11-7 Inputting the Consigned Portion Transaction Security Money Calculation Basis Balance 11-15
11-8 Ending the Entry of the Consignment Portion Transaction Security Money Calculation Basis Balance ---------- 11-15

Chapter 12: Querying Contract Balances, Etc. ---------- 12-1
12-1 The "Contract Balance Table (For the Firm)" for Futures Transactions ---------- 12-1
12-2 The "Contract Balance Table (For the Firm)" For Options Transactions ---------- 12-3
12-3 The "Contract Balance Table" for Futures Transactions ---------- 12-6
12-4 The "Contract Balance Table" for Options Transactions ---------- 12-8

Chapter 13: Notifications ---------- 13-1
13-1 Types of Output Notifications ---------- 13-1
13-2 Notification Output Destinations ---------- 13-2
13-3 Notification Serial Numbers ---------- 13-4
13-4 Notifications Pertaining to Order Entry ---------- 13-5
13-6 Notifications Pertaining to Transaction Status ---------- 13-27
13-7 Notifications Pertaining to Resale/Buyback/Execution of Rights ---------- 13-36
13-8 Notifications of Dividends ---------- 13-46
13-9 Notifications Pertaining to Contract Balances ---------- 13-47
13-10 Notifications Pertaining to Transaction Security Money Calculation Base Contract Balances ---------- 13-55
13-11 Final Settlement Index (SQ) Messages ---------- 13-55

Chapter 14: Operating Functions ---------- 14-1
14-1 Final Serial Number Description ---------- 14-1

REFCO 0006701

TSE0000000631

DOCKET ALARM Find authenticated court documents without watermarks at docketalarm.com.

DOCKET ALARM

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.