IN THE UNITED STATES PATENT TRIAL & APPEAL BOARD

CQG, INC. and CQGT, LLC

Petitioners,

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.

Patent Owner.

U.S. Patent No. 6,772,132 B1

PETITION FOR COVERED BUSINESS METHOD PATENT REVIEW UNDER 35 U.S.C. § 321 AND § 18 OF THE LEAHY-SMITH AMERICA INVENTS ACT

Mail Stop PATENT BOARD

Patent Trial and Appeal Board U.S. Patent & Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450

DOCKET

A L A R M Find authenticated court documents without watermarks at <u>docketalarm.com</u>.

I.	Table of Contents			
II.	Introduction1			
III.	Mandatory Notices (37 C.F.R. § 42.8(b))1			
	А.	Real Party-in-Interest1		
	B.	Related Matters1		
	C.	Lead and Back-up Counsel Including Service Information		
IV.	Gro	ounds for Standing (37 C.F.R. § 42.304(a))		
	А.	CQG Has Standing to File a Petition Under 37 C.F.R. § 42.302(a)		
	В.	CQG Is Not Estopped from Filing a Petition Under 37 C.F.R. § 42.302(b) by Having Filed a Now-Dismissed DJ Action in 2005		
		1. Institution of CBM Review Is Not Precluded by CQG's Earlier Filed Declaratory Judgment Action Because Such Action Was Dismissed Without Prejudice		
		2. The Rules Promulgated by the PTO Under Section 18 of the AIA Do Not Prohibit Institution of CBM Review, Because a Petitioner First Filed a Declaratory Judgment Action		
		3. 35 U.S.C. § 325(a)(1) Does Not Apply to CBM Review and Does Not Bar the Institution of CBM Review that Is Initiated After the Filing of a Declaratory Judgment Action		
	C.	The '132 Patent Is Eligible for Covered Business Method Patent Review Under 37 C.F.R. § 42.301		

		1. The USPTO Has Already Determined that the '132 Patent Is a Covered Business Method Patent	.20
		2. The '132 Patent Is Not for a "Technological Invention"	.23
		3. The Claimed Subject Matter of the '132 Patent As a Whole Does Not Recite a Technical Feature that Is Novel and Unobvious Over the Prior Art	.24
		4. The Claimed Subject Matter of the '132 Patent As a Whole Does Not Solve a Technical Problem Using a Technical Solution	.27
V.	Ider	ntification of Challenge Under 37 C.F.R. § 42.304(b)	.31
	A.	Specific Statutory Grounds of Challenge	.32
	B.	A Person of Ordinary Skill in the Art	.32
	C.	Claim Construction	.32
VI.		ailed Explanation of Reasons That Claims 1-56 of the '132 ent Are Unpatentable	.34
	А.	Ground 1: Claims 1–56 Are Unpatentable Under 35 U.S.C. § 101	.34
		1. New PTO Guidelines	.36
		2. Indicators of Abstract Ideas	.40
		3. Economic Practices Are Abstract Ideas	.42
		4. The '132 Patent Is Not Patentable Under 35 U.S.C. § 101 Because All of Its Claims Are Directed to an Abstract Idea	.43
	В.	Ground 2: Claims 1–56 Are Unpatentable Under 35 U.S.C. § 112, First Paragraph, for Lacking Sufficient Written Description of a Price column Where Only Some Prices Move, Not All	.58
		ii	

	1.	Claim Coverage
	2.	Written Description
	3.	Possession
VII.	Conclusion	

II. Introduction

Petitioners, CQG, Inc. and CQGT, LLC (collectively, "CQG") request Post-Grant Review of claims 1–56 of Covered Business Method Patent, U.S. Patent No. 6,772,132 ("the '132 patent") (Ex. 1001). The '132 patent issued on August 3, 2004 and is owned by Trading Technologies International, Inc. ("TT"). (*Id.*) The Petitioner will show below that the claims of the '132 patent are unpatentable because they are directed to an abstract idea, and based on the broadest reasonable interpretation, lack written description. Accordingly, covered business method patent ("CBM") review of claims 1–56 of the '132 patent should be granted.

III. Mandatory Notices (37 C.F.R. § 42.8(b))

A. Real Party-in-Interest

The real parties-in-interest are CQG, Inc. and CQGT, LLC.

B. Related Matters

The '132 patent is or has been involved in the following proceedings that may affect, or be affected by, a decision in this proceeding: *GL Trade Am., Inc. v. Trading Tech. Int'l, Inc. ("TT")*, 1:11-cv-001558 (N.D. III.); *TT v. TradeHelm, Inc.,* 1:10-cv-00931 (N.D. III.); *TT v. Rosenthal Collins Group, LLC,* 1:10-cv-00929 (N.D. III.); *TT v. Open E Cry, LLC, et al.,* 1:10-cv-00885 (N.D. III.); *TT v. thinkorswim Group, Inc., et al.,* 1:10-cv-00883 (N.D. III.); *TT v. Tradestation Sec.,*

1

DOCKET A L A R M



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.