

Paper No. \_\_\_\_  
Filed: May 12, 2016

UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE PATENT TRIAL AND APPEAL BOARD

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TRADESTATION GROUP, INC.,  
TRADESTATION SECURITIES, INC., IBG LLC, and  
INTERACTIVE BROKERS LLC.,

Petitioner

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.

Patent Owner

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Case CBM2015-00161<sup>1</sup>  
U.S. Patent 6,766,304 B2

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**PATENT OWNER'S UPDATED EXHIBIT LIST**

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<sup>1</sup> Case CBM2016-00035 has been joined with this proceeding.

Pursuant to 37 C.F.R. § 42.63(e), Patent Owner Trading Technologies International, Inc. hereby submits a current listing of Trading Technologies Exhibits to counsel for Petitioners TradeStation Group, Inc. and TradeStation Securities, Inc. Exhibit 2107 was filed on the PRPS and served via email to counsel of record for the Petitioner.

| <b>Filed Exhibits</b> | <b>Description</b>  |
|-----------------------|---|
| Exhibit 2001          | Trading Technologies International Inc.'s Letter To Hon. Michelle K. Lee, Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office, regarding Abuse of Covered Business Method Review Process, dated August 10, 2015 |
| Exhibit 2002          | Attachment A to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 609   |
| Exhibit 2003          | Attachment B to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 613   |
| Exhibit 2004          | Attachment C to Letter to Director Lee: TradeStation's Petition for Covered Business Method Review of U.S. Patent 6,766,304 B2  |
| Exhibit 2005          | Attachment D to Letter to Director Lee: <i>TD AmeriTrade Holding Corp et al. v Trading Technologies Int'l</i> , Case No. CBM2014-00136, Paper No. 18, Patent Owner's Preliminary Response, dated September 3, 2014  |
| Exhibit 2006          | Attachment E to Letter to Director Lee: <i>Trading Tech Int'l v CQG, Inc. and CQGT, LLC</i> , Case No. 05-cv-4811 (N.D.Ill.), Dkt. 1073, Memorandum Opinion and Order denying Motion for Summary Judgment (35 U.S.C. § 101).  |
| Exhibit 2007          | Attachment F to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 181, TradeStation Defendants' Amended Motion and Memorandum in Support of Partial Summary Judgment (priority date).                                |
| Exhibit 2008          | Attachment G to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 176, Defendants' Case Management Statement for May 5, 2011 Status  |

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|              | Hearing.  |
| Exhibit 2009 | Attachment H to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 528, Position Statement of the TD Ameritrade Defendants on the Federal Circuit's Decision in <i>OEC</i> and How this Case Should Proceed.        |
| Exhibit 2010 | Transcript of Teleconference Call with the Board, dated September 10, 2015  |
| Exhibit 2011 | Petition for Covered Business Method Review Under 35 U.S.C. § 321 and § 18 of the Leahy-Smith America Invents Act, <i>CQG, Inc. and CQGT, LLC v. Trading Tech Int'l, Inc.</i> , CBM2015-00057, January 9, 2015  |
| Exhibit 2012 | Email to Petitioner regarding Discovery, September 1, 2015  |
| Exhibit 2013 | Email from Board authorizing Patent Owner to file Reply In Support of Motion for Additional Discovery   |
| Exhibit 2014 | Trading Technologies International Inc.'s Letter To Hon. Michelle K. Lee, Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office, regarding Continued Abuse of Post-Grant Review Process, dated October 23, 2015 |
| Exhibit 2015 | Attachment I to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 546, Memorandum in Support of the TDAmeritrade Defendants' Motion to Stay Proceedings.   |
| Exhibit 2016 | Attachment J to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 558, TradeStation Defendants' Joinder In and Motion for Stay.  |
| Exhibit 2017 | Attachment K to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 543, Notification of Docket Entry Denying Renewed Motion for Summary Judgment.   |
| Exhibit 2018 | Attachment L to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 617, Order Granting TT's Motion to Lift the Stay   |
| Exhibit 2019 | Attachment M to Letter to Director Lee: <i>Trading Tech Int'l v BGC Partners, Inc.</i> , Case No. 10-C- 715 (N.D.Ill.), Dkt. 876, Memorandum Opinion and Order Denying CQG's Motion to Stay   |

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| Exhibit 2020 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 105, Memorandum Opinion and Order (Oct. 31, 2006)  |
| Exhibit 2021 | Notice of Intent to Issue Ex Parte Reexamination Certificate 90/008,577 (January 7, 2008)  |
| Exhibit 2022 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 889, Memorandum Opinion and Order (Jan. 20, 2015)  |
| Exhibit 2023 | Word Comparison CQG CBM Petition on '304 Patent with TradeStation CBM Petition on '304 Patent  |
| Exhibit 2024 | Word Comparison Declaration of John Phillip Mellor Ex. 1028 with Ex. 2012.   |
| Exhibit 2025 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 709, CQG's Motion for Summary Judgment that the '304 and '132 Patents are Invalid under 35 U.S.C. § 112, ¶ 1 for Lack of Written Description (Mar. 17, 2014) |
| Exhibit 2026 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 712, CQG's Memorandum of Law in Support of Its Motion for Summary Judgment on § 112, ¶ 1 (Mar. 17, 2014)   |
| Exhibit 2027 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 720-3, Exhibit D – Declaration of John P. Mellor in Support of CQG's Motion for Summary Judgment on § 112, ¶ 1 (Mar. 17, 2014)                               |
| Exhibit 2028 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Transcript of Proceedings held before Hon. Sharon J. Coleman (Mar. 16, 2015)  |
| Exhibit 2029 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 1163, Trading Tech's Rule 50 Motion on CQG's Written Description Defense (Mar. 12, 2015)   |
| Exhibit 2030 | <i>Trading Technologies International, Inc. v. CQQ, Inc., and CQGT, LLC</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 886, Notification of Docket Entry (Jan. 14, 2015)   |
| Exhibit 2031 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 898, CQG's Opening   |

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|              | Brief Regarding the Patent-Ineligibility/Invalidity of the TT Patents-in-Suit under 35 U.S.C. § 101 (Feb. 2, 2015)   |
| Exhibit 2032 | <i>July 2015 Update Appendix 1: Examples</i> , USPTO Examination Guidelines  |
| Exhibit 2033 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 749, Trading TTech’s Cross-Motion for Partial Summary Judgment that the “Static” Limitations Meet the Written Description Requirement (May 16, 2014) |
| Exhibit 2034 | <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill.), Docket No. 889, Memorandum and Order on Summary Judgment under § 112, ¶ 1 (Jan. 20, 2015)   |
| Exhibit 2035 | <i>Reserved</i>  |
| Exhibit 2036 | <i>Reserved</i>  |
| Exhibit 2037 | <i>Reserved</i>  |
| Exhibit 2038 | <i>Reserved</i>  |
| Exhibit 2039 | Senate Congressional Record, S936-S953 (Feb. 28, 2011)   |
| Exhibit 2040 | <i>Crossing the Finish Line on Patent Reform: What Can and Should Be Done</i> , Hearing Before the Subcommittee on Intellectual Property, Competition, and the Internet of the Committee on the Judiciary House of Representatives (Feb. 11, 2011)                 |
| Exhibit 2041 | <i>Study and Report on the Implementation of the Leahy-Smith America Invents Act</i> , USPTO Report to Congress (Sept. 2015)   |
| Exhibit 2042 | Markup of H.R. 1249, The America Invents Act, House of Representatives Committee on the Judiciary (Apr. 14, 2011)  |
| Exhibit 2043 | <i>Versata Development Group, Inc. v. SAP America, Inc. and SAP AG</i> , Case No. 2014-1194 (CAFC), Docket No. 61, Brief for the Intervenor - Director of the United States Patent and Trademark Office (May 1, 2014)  |
| Exhibit 2044 | IEEE 100 The Authoritative Dictionary of IEEE Standards Terms, 7 <sup>th</sup> ed., p. 130 (2000)  |
| Exhibit 2045 | Definition of “Business Operation,” BusinessDictionary.com, Web Page Print Out   |
| Exhibit 2046 | <i>Trading Technologies International, Inc. v. BCG Partners, Inc.</i> , Case No. 1:10-CV-00715 (N.D. Ill.), Docket No. 562, Reply  |

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