UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

IBG LLC,
INTERACTIVE BROKERS LLC,
TRADESTATION GROUP, INC.,
TRADESTATION SECURITIES, INC.,
TRADESTATION TECHNOLOGIES, INC.,
IBFX, INC.,
Petitioners

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.
Patent Owner

Patent No. 7,676,411

DECLARATION OF KENDYL A. ROMÁN
IN SUPPORT OF PETITION FOR
COVERED BUSINESS METHOD REVIEW OF U.S. PATENT 7,676,411

IBG 1019

I, Kendyl A. Román, declare as follows:

1.   I have been engaged by Sterne, Kessler, Goldstein & Fox P.L.L.C. on behalf of IBG LLC, IBFX, Inc., Interactive Brokers LLC, TradeStation Group, Inc., TradeStation Securities, Inc., and TradeStation Technologies, Inc., ("Petitioners") for the above-captioned covered business method review proceeding. I understand that this proceeding involves United States Patent 7,676,411, entitled "Click based trading with intuitive grid display of market depth," by Gary Allan Kemp, II, filed October 25, 2006 and issued March 9, 2010, (the "'411 Patent"). I understand that the '411 Patent is currently assigned to Trading Technologies International, Inc. ("TT").

2.   I understand the '411 Patent claims benefit from U.S. provisional application 60/186,322. For purposes of the covered business method review, I assume the earliest possible priority date of the '411 Patent is the March 2, 2000 filing date of U.S. provisional application 60/186,322.

3.   I have reviewed and am familiar with the specification of the '411 Patent. I understand that the '411 Patent has been provided as Exhibit 1001. I will cite to the specification using the following format ('411 Patent, 1:1-10). This example citation points to the '411 Patent specification at column 1, lines 1-10.

4.   I have reviewed and am familiar with the file history of the '411 Patent. I understand that the file history has been provided as Exhibit 1002.

5.   I have also reviewed and am familiar with the following prior art used in the Petition for Covered Business Method Review of the '411 Patent:

- U.S. Patent No. 5,077,665 to Silverman *et al.* ("Silverman"). I understand that Silverman has been provided as Exhibit 1003.

- U.S. Patent No. 5,297,031 to Gutterman *et al.* ("Gutterman"). I understand that Gutterman has been provided as Exhibit 1004 .

- WO 90/11571 to Belden *et al.* ("Belden"). I understand that Belden has been provided as Exhibit 1009.

- U.S. Patent No. 5,375,055 to Togher *et al.* ("Togher"). I understand that Silverman has been provided as Exhibit 1005 .

- U.S. Patent No. 5,263,134 to Paal *et al.* ("Paal"). I understand that Paal has been provided as Exhibit 1018.

- U.S. Patent No. 5,960,411 to Hartman *et al.* ("Hartman"). I understand that Hartman has been provided as Exhibit 1027.

- A certified translation of "System for Buying and Selling Futures and Options Transaction Terminal Operational Guidelines"

("TSE"). I understand that the original Japanese language document was provided as Exhibit 1006, the certified translation provided as Exhibit 1007, and the certification of translation provided as Exhibit 1008.

6. I have also reviewed and am familiar with:

- The Board's Decision to Institute CBM review of the '411 Patent in CBM2014-00133 ("Ins. Dec."). I understand that the Ins. Dec. has been provided as Exhibit 1029

- TT's Patent Owner Response in CBM2014-00133 ("POR"). I understand that the POR has been provided as Exhibit 1031.

7. A complete listing of additional materials considered and relied upon in preparation of my declaration is provided as Exhibit 1021. I have relied on these materials to varying degrees. Citations to these materials that appear below are meant to be exemplary but not exhaustive.

8. The '411 Patent describes click based trading with intuitive grid display of market depth. ('411 Patent, Title.) I am familiar with the technology described in the '411 Patent as of the earliest possible priority date of the '411 Patent (March 2, 2000).

9.	I have been asked to provide my technical review, analysis, insights and opinions regarding the '411 Patent and the above-noted references that form the basis for the grounds of unpatentability set forth in the petition for Covered Business Method Review of the '411 Patent.

## I.	QUALIFICATIONS

10.	See my Curriculum Vitae provided as Exhibit 1020 for a listing of my qualifications. This includes a list of publications for the past 10 years or more.

11.	My expertise qualifies me to do the type of analysis required in this case. Of particular relevance, I have been involved in the design, implementation, testing, and analysis of computer software, firmware, and hardware for over thirty years, including software architecture, graphical user interfaces, trading systems, and other networked, data-driven client-server systems. My work has included analysis of trading systems including source code and user interfaces. In addition, I have practical experience in the design and programming of a variety of computer systems ranging from handheld devices, to laptops and desktop computers, to large multi-layer networked database systems.

12.	As a freshman at Brigham Young University ("BYU") in 1976, I started writing programs for IBM computers.

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