

UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE PATENT TRIAL AND APPEAL BOARD

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

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.,  
Patent Owner

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Case CBM2015-00181  
Patent 7,676,411

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**PETITIONERS' UPDATED EXHIBIT LIST**

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In accordance with the Board’s Order of September 28, 2016 (Paper 110), Petitioners submit the following updated exhibit list to accompany submission of Exhibit 1058, the Petitioners’ demonstrative exhibits for oral argument.

**PETITIONER’S UPDATED EXHIBIT LIST**

Exh. No.	Description
1001	U.S. Patent No. 7,676,411 to Kemp, II <i>et al.</i> (“’411 patent”)
1002	File History of Application Ser. No. 11/585,907, which became the ’411 patent, as filed and obtained from PAIR (“’411 Patent File History”)
1003	U.S. Patent No. 5,077,665 to Silverman <i>et al.</i> (“Silverman”)
1004	U.S. Patent No. 5,297,031 to Gutterman <i>et al.</i> (“Gutterman”)
1005	U.S. Patent No. 5,375,055 to Togher <i>et al.</i> (“Togher”)
1006	“Futures/Option Purchasing System Trading Terminal Operation Guide,” Tokyo Stock Exchange (“TSE JP”)
1007	Certified Translation of “Futures/Option Purchasing System Trading Terminal Operation Guide” (“TSE”)
1008	Certificate of Translation for “Futures/Option Purchasing System Trading Terminal Operation Guide” (“TSE Certificate”)
1009	WO 90/11571 to Belden <i>et al.</i> (“Belden”)
1010	Deposition Transcript of Atsushi Kawashima, <i>Trading Technologies International, Inc., v. eSPEED, Inc.</i> , Case No. 04-cv-5312, United States District Court, Northern District of Illinois, Eastern Division, dated November 21, 2005 (“Kawashima Depo. Tr.”)
1011	Petition to Make Special Under 37 C.F.R. § 1.102(d) for Ser. No. 09/590,692, filed August 21, 2000 (“Petition to Make Special”)
1012	Request for Reexamination of U.S. Patent No. 6,772,132, Control No. 90/011,250, filed September 22, 2010 (“Reexam Request”)
1013	Order Denying Request for Reexamination of U.S. Patent No.

Exh. No.	Description
	6,772,132, Control No. 90/011,250, mailed December 14, 2010 (“Order Denying Reexam”)
<b>1014</b>	Alan Cooper, “About Face: The Essentials of User Interface Design,” First Edition, 1995. (“Cooper”)
<b>1015</b>	Ben Shneiderman, “Designing the User Interface: Strategies for Effective Human-Computer Interaction,” Third Edition, 1998 (“Shneiderman”)
<b>1016</b>	Microsoft Computer Dictionary, Fifth Edition, 2002, page 150 (“Microsoft Computer Dictionary”)
<b>1017</b>	Robert Deel, “The Strategic Electronic Day Trader,” 2000 (“Deel”)
<b>1018</b>	U.S. Patent No. 5,263,134 to Paal <i>et al.</i> (“Paal”)
<b>1019</b>	Declaration of Kendyl A. Román (“Román Decl.”)
<b>1020</b>	Curriculum Vitae of Kendyl A. Román (“Román CV”)
<b>1021</b>	List of Materials Considered by Kendyl A. Román (“Román List of Materials”)
<b>1022</b>	U.S. Patent No. 6,408,282 to Buist (“Buist”)
<b>1023</b>	Declaration of David Rho (“Rho Decl.”)
<b>1024</b>	Curriculum Vitae of David Rho (“Rho CV”)
<b>1025</b>	List of Materials Considered by David Rho (“Rho List of Materials”)
<b>1026</b>	Weiss, “After the Trade is Made,” pp. 44-46. (“Weiss”)
<b>1027</b>	U.S. Patent No. 5,960,411 to Hartman <i>et al.</i> (“Hartman”)
<b>1028</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00133, Paper 18 (“POPR”)
<b>1029</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00133, Paper 19 (“Ins. Dec.”)
<b>1030</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00133, Paper 29 (“Reh’g Dec.”)
<b>1031</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00133, Paper 32 (“POR”)

Exh. No.	Description
1032	Redacted Second Corrected Expert Report of Christopher Thomas, <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill. Dec. 12, 2013) (“Thomas Report”)
1033	Transcript of the Deposition of Christopher Thomas, April 28, 2015 (“Thomas Tr.”)
1034	Transcript of the Deposition of Christopher Thomas, <i>Trading Technologies International, Inc. v. eSpeed, Inc. et al.</i> , No. 04-cv-5312 (“eSpeed Tr.”)
1035	<i>Trading Techs. Int’l v. CQG</i> , No. 05-cv-4811, slip op. at 10 (N.D. Ill. Feb. 24, 2015)
1036	Inside Macintosh, Promotional Edition, Apple Computer, Inc., 1985 (“Inside Macintosh”)
1037	Valerie Illingworth, and I.C. Pyle, Dictionary of Computing, 4 <sup>th</sup> Ed, Oxford University Press, 1996 (“Oxford Dictionary”)
1038	Declaration of Adam Kessel in Support of Petitioner’s Motion for <i>Pro Hac Vice</i> Admission
1039	Email Correspondence of April 5, 2016
1040	Email Correspondence of April 12-13, 2016
1041	Teleconference in CBM2015-00179 of March 23, 2016
1042	Transcript of Teleconference, May 2, 2016
1043	Transcript of Teleconference, June 6, 2016
1044	<i>Intentionally left blank</i>
1045	<i>Intentionally left blank</i>
1046	<u>New York Times</u> , “Futures/Options; Automation in Trading,” December 10, 1984
1047	Intex Trading Screen
1048	Commodity Futures Trading Commission, Strategic Plan (2007-2012)
1049	CBM2015-00182 (’132 patent) Patent Owner Exhibit List
1050	CBM2015-00161 (’304 patent) Patent Owner Exhibit List

<b>Exh. No.</b>	<b>Description</b>
<b>1051</b>	Deposition Transcript of Dan R. Olsen, Jr.
<b>1052</b>	CONFIDENTIAL Deposition Transcript of Christopher H. Thomas
<b>1053</b>	Declaration of Robert E. Sokohl, March 23, 2016.
<b>1054</b>	Exhibit 1 from the Deposition of Atushi Kawashima, June 17, 2016.
<b>1055</b>	Exhibit 2 from the Deposition of Atushi Kawashima, June 17, 2016.
<b>1056</b>	Exhibit 3 from the Deposition of Atushi Kawashima, June 17, 2016.
<b>1057</b>	Exhibit 4 from the Deposition of Atushi Kawashima, June 17, 2016.
<b>1058</b>	Petitioners' Demonstrative Exhibits for Oral Argument.

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Date: October 17, 2016

/Richard M. Bemben/

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