PTO/SB/088 (11-07)
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Journa	10 101 101111 144811	-10		Application Number	90/008,576	
INF	ORMATI	ON DIS	SCLOSURE	Filing Date	05-25-2007	
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132	
	4 L			Art Unit	3993	
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark	
Sheet	1/1	of	I.a.	Attorney Docket Number	07-1021-US-REX-1	

Examiner Initials*	Cite No.1	include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
_	lat	eSpeed's Supplemental Invalidity Contentions, 5/25/2007	83 P1
	laz	eSpeed's Disclosure of Invalidity Contentions Pursuant to 35 USC 282, 5/25/2007	
	la3	Invalidity Contentions Re: TradePad Module (Letter Dated 5/25/2007)	
	la4_	Supplemental Invalidity Contentions Pursuant to 35 U.S.C. 282, 8/10/2007	
	la5	eSpeed's and Ecco's Answers to Plaintiff's Eighth Set of Interrogatories, 8/4/2006	
	la6	eSpeed and Ecco's Supplemental Answers to Plaintiff's First, Third, Seventh, Eighth, and Ninth Set of Interrogatories, 5/25/2007	
m	la7	Defendant GL Trade Americas, Inc's Supplemental Responses and Objections to Interrogatory Nos. 5, 17, and 18, 7/24/2006	
<	-la8	eSpeed's Objections and Answers to Plaintiff's Third Set of Interrogatories to Defendant eSpeed, 5/12/2005	
<u> Maria</u>			
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Examiner Signature	shore	Date Considered	2/28/08

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Sheet	1/16	of	1.b.	Attorney Docket Number	07-1021-US-REX-1	

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nsi dand	M		User Guide V4.51 LIFFE Connect for Futures by GL Trade, 06/00/99, DX 385, G 025751-G 025806, DTX 385	
	ne	_	CAC and STOXX Futures on MATIF NSC VF Launch: 3/15/99, DX 537, G 107561-G 107574, DTX 537	
	m	_	GL WIN Version 4.50, 03/03/99, DX 538, G 107459-G 107480, DTX 538	
	m		Trading Pad User Manual, 08/10/99, DX 539, G 112123-G 112131, DTX 539	
(a		Email from WATTIER to M. Cartler attaching Matif VF: V4.50 manual, 3/30/1998, DX 592, MC000046-MC000116, DTX 592	
	m	_	LIFFE Connect for Futures User Guide V4.50, 02/00/99, DX 593, G 122900-G 122938, DTX 593	
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	m		User Guide V4.50 LIFFE Connect for Futures by GL Trade, 03/00/99, DX 598, G 123439-G 123477, DTX 598	
	Chr		User Guide V4.60 LIFFE Connect for Futures by GL Trade, 06/00/99, DX 605, G 123548-G 123603, DTX 605	# M. M. M. M.

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unlass it contains a valid OMB control number. Complete if Known Substitute for form 1449/PTO **Application Number** 90/008,576 INFORMATION DISCLOSURE Filing Date 05-25-2007 STATEMENT BY APPLICANT First Named Inventor 6,772,132 Art Unit 3993 (Use as many sheets as necessary) **Examiner Name** Jeanne Marie Clark Attorney Docket Number 2/16 I.b. 07-1021-US-REX-1 of

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
h		Matif VF: V4.50 Manual, 3/30/1999, DX 612, MC 000047-MC 000116, DTX 612	
4		CAC and STOXX Futures on MATIFF NSC VF- GL Win User Info Note, 3/15/1999, DX 626, CME-E11252-11265, DTX 626	
		"A System and Method for Conducting Security Transactions Over a Computer Network", MAURO & BUIST, 03/01/99, DX 196, eS 066150-eS 066229, DTX 196	
_		RCG's Presentation re WitCapital, 4/22/2004, DX 208, RCG 000635-RCG 000663, DTX 208	
		MAURO, Certified Patent Application No. 09/292,552, 4/15/1999, DX 209, eS 065994-eS 066149,	
~		Various declarations Re: Patent Application No. 09/292,552, 11/3/2003, DX 284, TT 099877-TT 099907, DTX 284	
•		EVENSTREET Presentation prepared for National Discount Brokers, 00/00/1999, DX 301, CM 006787-CM 006817, DTX 301	
_		WIT DSM user interface instructions, 08/06/98, DX 427, CM 006591-CM 006632, DTX 427	
		Presentation re WIT DSM user interface Trade4.ppt, 10/12/98, DX 430, CM 008265-CM 008330, DTX 430	
		WIT DSM Presentation re Information display and decision variables, 12/20/98, DX 431, CM 904334-CM 004347, DTX 431	

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STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132	
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_	_	EVENSTREET Presentation prepared for Flatiron Partners, 00/00/1999, DX 437, CM 007139-CM 007172, DTX 437	
	_	WIT Capital digital trading facility presentation to Goldman Sachs, DX 438, CM 004523-CM 004547, DTX 438	
-		WIT Capital Digital trading facility presentation to PaineWebber, Inc., DX 439, DTX 439	
~_		WIT Capital after hours trading system, MAURO, 3/19/1999, DX 440, CM 009028-CM 009059, DTX 440	
		WIT Capital Corporation digital trading facility presentation, 03/00/99, DX-441, DTX 441	
ž –		WIT Capital pdf operator manual for Digital trading facility, 00/00/1999, DX 442, CM 006510-CM 006513, DTX 442	
		Overview re Digital trading facility, DX 443, CM 006315-CM 006344, DTX 443	
Mu		Utility Patent Application Transmittal Re: Computer Trading System, Method and Interface, 4/15/1999, MAURO, KLEIA, and BUIST, PX368	
		Photocopy of Disks containing exhibits A and B to declaration of W. Buist, PX366	
		SISS Functional specifications version 2.1, 02/16/88, DX 445, DTX 445	

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Sheet	4/16	of	1.b.	Attorney Docket Number	07-1021-US-REX-1	

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_	-	Overview re SPATS; the Electronic Broker, DX 446, DTX 446	_
		Status review specialist support system study NYSE, 04/10/86, DX 447, DTX 447	
m	-	Declaration of W. BUIST re: WIT DSM System, 04/26/06, PX 365, DTX 1777	
_		INTEX Trading Screen shots, 01/01/2001, DX 10, eS 0003542-eS 0003543, DTX 10	
		Sample screens of APT system, DX 150, DTX 150	
		Photo of trader w/ APT screen, DX 151, LIFFE 00167-LIFFE 00168, DTX 151	
·		APT User Guide, 01/00/94, DX 152, LIFFE 000262-LIFFE 000363, DTX 152	
-		LIFFE guide/pamphlet, DX 148, DTX 148	
		Release Notes - Market Trader V5.2a, 03/18/99, DX 617, G 118137-G 118152, DTX 617	
M		Market Trader - Nikkel 225 & Nikkel 300 Index options and Index futures trading users guide, 03/20/98, DX 618, G100444-G100462, DTX 618	

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	_	MIDAS KAPITI Delivery Note and Release Note-Market Trader V5.2b, 03/31/1999, DX 619, G 096511-G 096527, DTX 619	
	-	MIDAS KAPITI Release Notes - Market Trader V5.2e, 04/12/1999, DX 620, G 096694- G 096711, DTX 620	
_	_	MIDAS KAPITI Release Notes - Market Trader V5.2, DX 621, G 096712 - G 096727, DTX 621, 05/26/99	
		MIDAS KAPITI Release Notes - Market Trader V5.2e, DX 622, G 096728- G 096754, DTX 622, 06/01/99	
		MIDAS KAPITI Delivery Note and Release Note-Market Trader V5.2e, DX E23, G 105641- G 105667, DTX 623, 5/26/99	
		Drawing of 1997 TSE terminal by H. KIDA, DX 624, DTX 624	
		Directory of Software Solutions for LIFFE Connect, 02/0099, DX 156, DTX 156	
		ScreenShots: Patsystem "Canned" Demo, 02/00/97, DX 120, PATS 00545- PATS 00559, DTX 120	
		PTS Client Version 2.1F, DX 119, PATS 00067-PATS 00082, DTX 119	
		PTS trading application Version 1.1 Beta H.1, 03/31/1998, DX 118, PATS 00560 -PATS 00560, DTX 118	

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9	_	Directory of Software Solutions for LIFFE Connect, Issue 1, 10/00/1998, DX 155, DTX 155	
h		Directory of Software Solutions for LIFFE Connect, Issue 3, 6/10/1999, DX 157, DTX 157	
_		Trading Technologies Trader System User Documentation, 04/01/98, Release 3.10, DX 3, TT 015867-TT 015955, DTX 3	
_		Aurora Chicago Board of Trade Brochure, 1990, ES0021230-ES0021241	
		Eceo Consulting Study Report MEFF Software Systems, 3/17/1999, ES0060578-ES0060591	
		Osaka Stock Exchange Manual (Japanese Document), 4/1996 REFCO0009773-REFCO0009826	
m		TSE Manual (Japanese Document),11/15/05,DX179,TSE647-995,w/certified translation eS62258-62366 [TSE609-647,694-711,714-721,735-736,749-756,759-760,779-782,784-810,982-995]	1
	3	TIFFE Manual (Japanese Document), 1/1996, REFCO0010861- REFCO0011210,	
		Final Detailed Design Document NYMEX ACCESS, 5/5/1992, eS0003127-eS0003541	
m	-	The Application Program Interface (API) Reference Manual for LIFFE Connect, Release 3.0, 9/1998, DDX 159, DTX 159, eS00060055-eS00060145	

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m		The Application Program Interface (API) Reference Manual for LIFFE Connect, Release 3.2, 12/1998, DDX 161, DTX 161, eS00060239-eS00060331	
On		The Application Program Interface (API) Reference Manual for LIFFE Connect, Release 3.3, 1/1999, DDX 162, DTX 162, eS00059959-eS00060054	
,		The Application Program Interface (API) Reference Manual for LIFFE Connect, Release 2.7, 9/1998, DDX 163, DTX 163, eS00059868-eS00059958	
		OM CLICK Trade User's Guide for Windows NT, 10/00/1998, eS00064671-eS00064773	
		Swise Exchange SWX Exchange TS User Manual V2.1, 12/31/1998	
-		GLOBEX Members Handbook, 6/00/1992, DX632, DTX632, eS006974-eS0069818	
		GEOBEX User Guide, 1/00/1997, DX 663, DTX 663, eS0069819-eS0070081	
		Chicago Mercantile Exchange (CME) GLOBEX Brochure, 3/30/1989, DX634, DTX634, eS003958-eS0003981	
<		The Complete GLOBEX2 Handbook, 5/00/1998, DX635, DTX635, CME-E0010679-0010891	5
<	_	The Complete GLOBEX2 Handbook, 7/00/1998, DX637, DTX637, CME-E 014048- CME-E 014286	

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449/PTO **Application Number** 90/008,576 INFORMATION DISCLOSURE **Filing Date** 05-25-2007 STATEMENT BY APPLICANT First Named Inventor 6,772,132 Art Unit 3993 (Use as many sheets as necessary) Examiner Name Jeanne Marie Clark

Attorney Docket Number

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Т
		MINEX Service Outline User Test/Orientation, 9/1992, eS0064647- eS0064670	
_		ORC Instructions for Use Version 2.2.8., 0/0/1999, eS0064775-eS0032572	
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		TradePad Instuctions (French), G0025748-G0025749	
		TradePad.vsd Document, 2/9/1999, G011169-G0111670	
3.		Trading pad.doc Document, 1/26/1999, G0111671-G0111672	

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Sheet 8/16

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0.000				Application Number	90/008,576	
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007	
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Sheet	9/16	of	l.b.	Attorney Docket Number	07-1021-US-REX-1	J

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (In CAPITAL LETTERS), title of the article (when appropriate), title of	
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m		tradepad.txt (French), 3/8/2000, G0025616-G0025618	
M		LIFFE CONNECT for FUTURES User Guide v4.50 Beta, 1/1999, G0025623-G0025646	
	,	CAC and STOXX FUTURES on MATIF NSC VF Launch: 3/15/99, G0826699-G0025682	
Me		GL Enhancements Software Version 4.11f, 10/29/1998, G0060853-G0060854	
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•		LIFFE Connect Futures Release Note 050399.doc, 3/3/1998, G0111402-G0111407	

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STA	ATEMENT	BY A	PPLICANT	First Named Inventor	6,772,132	
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	-	TradingPad.doc, 4/30/1999, G0112117-G0112122	
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_		FUTURES CAC et STOXX sur MATIF NSC VF (French), 3/15/99, G0118814-G0118828	-
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		LIFFE CONNECT FUTURES Functional Technical Issues to Resolve, 4/12/2007, G0119049-G0119050	
M		LIFFE CONNECT for Equity Options User Guide v4.30, 11/1998, G0119052-G0119036	
		Member Participation in the Futures Market, 04/12/1999, G0119196-G0119197	
		Email from PATRICIA GAUTHIER to Sam Page, 1/25/1999, G0119377-G0119380	
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an		Screenshot of GL TradePad, G0119660	
Tu	-	LIFFE CONNECT for Futures Schedule for Project Deliverables, 2/4/1999, G0119681-G0119682	
M		LIFFE CONNECT for Futures-Project Update #1, Meeting of 1/11/99, G0119691-G0119697	
		LIFFE CONNECT for FUTURES: Project Update 2, Meeting of 2/10/99, G0119698-G0119704	
		LIFFE CONNECT for FUTURES: Project Summary: 4/19/99, G0119705-G0119717	
		Functional Enhancements for LIFEE CONNECT for FUTURES Project, 4/12/1999, G0119718-G0119724	

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INF	ORMATIC	ON DIS	SCLOSURE	Filing Date	05-25-2007	
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_		Functional Enhancements for LIFEE CONNECT for FUTURES Project, 4/12/99, G0119725-G0119745	
_		Functional Enhancements for LIFEE CONNECT for PUTURES Project, 3/3/99	
		Installation, Market Entry Test, and Technical Dress Rehearsal Summary.	
		GL Trade Checklist-Installation Requirements for FUTURES, Jan. 1999, G0119795-G0119798	
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-		GL Brochure, G0021652-21658	
		GL Cost and Services, 00/00/1998, G0108876	
	C	GL Win Summary (French), 6/00/1998, G0091004-G0091046	
		Globex brochure, DTX 17, 00/00/1989, eS0003958-eS0003981	-

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	_	Swiss Exchange SWX - TS User Manual, 12/31/1998, DTX 2215, eS0032293-eS0032547	
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		GLOBEX User Guide, 01/00/97, DDX 633, DTX 633, eS069819-eS070081	
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2	_	PTS trading application Version 1.1 Beta H.1, 3/31/1998, DDX 118, DTX 118, PATS00560-PATS00560	
		X_Trader User Documentation Manual Release 3.10, 4/1/1998, TT0015867-15955	
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Attorney Docket Number

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		GL Version 4.70 (French Version), 1/5/2000, GQ026505-26533	
		GL Version 4.70 (English Version), 1/5/2000, G0020593-20621	
n		GL WIN Version 4.50, 3/3/1999, G0025647-25668	
		GL WIN and Related Software Manual, 9/11/2000, 1) G0025251-25615	
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an		Internal Product News doc on QuickTrade, G0020468-20471	
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		*Introducing the Company: GL Trade" product offerings and slide presentation (to Reuters), G0026534-26559	
m	_	GL Product Leaflet Re: Mosaic, G0022529-22530	
	-	THOMSON FINANCIAL leaflet, 09/00/2003, G0022445-22450	
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INFORMATION DISCLOSURE		Filing Date	05-25-2007		
STATEMENT BY APPLICANT			First Named Inventor	6,772,132	
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we		^{US-} 5,243,331	9/7/1993	McCausland, et al. (DTX 1228)	
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Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
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Translation is attached.

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Substitu	ite for form 1449/	PTO		Complete If Known		
92000				Application Number	90/008,576	
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007	
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132	
	(Use as many sheets as necessary)			Art Unit	3993	
		Examiner Name	Jeanne Marie Clark			
Sheet	1/2	of	I.c.	Attorney Docket Number	07-1021-US-REX-1	

Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the Item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		TSE Japanese Document, pgs 4-15	
	_	TSE Japanese Document, pgs 6-15	
		Megumi MIYOSHI, Japanese Patent Application No. 2001-564025, 4/18/200	
ar		"Guldlines for Operating the Trading Terminals", TSE Publication 2, 00/00/1998, TSE628-643, REFCO6698-6713, with two translations	
M	-	"TSE 50th Anniversary Book of Materials", TSE Publication 3, 4/00/1989-3/00/1999, TSE644-646, REFCO6714-6719, with two translations	1
		"Amazon.com Catapults Electronic Commerce to Next Level with Powerful New Features," Amazon.com Press Release, 9/23/97, DTX1034, Dezmelyk000012-13	
		Apple Advertisement, Scientific American, September 1984, Scientific American Inc. NY, NY Dezmelyk000014-33	
	_	Meme Re: Downloading the Terminal Program, 8/18/2005	
m		"Next-Generation Futures Options Trading System", Participants Seminar Materials, TSE Publication 1, 9/00/1997, TSE609-TSE627, REFCO6679-6697, with two translations	1

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INF	ORMATI	ON DIS	SCLOSURE	Filing Date	05-25-2007	
STA	ATEMEN	T BY A	PPLICANT	First Named Inventor	6,772,132	
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Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	,
Initlals*	No.1	the Item (book, magazine, journal, serial, symposlum, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		"Specialist vs Saltori: Market-Making in New York and Tokyo", Richard LINDSAY and Ulrike Schaede, DTX 1170, 7-8/00/1992, Silverman000494-Silverman000506	
_	_	"Building for Excellence", MINEX Brochure, DTX 1153, Silverman000330-Silverman000334	
		Chicago Mercantile Exchange (CME) Brochure, DTX1163, Silverman000406- Silverman000407	>
		MEFF Renta Fija Manual, DTX 1165, 10/00/1997, Silverman000410-Silverman000473	-
		O'HARA and OLDFIELD, "The Microeconomics of Market Making", Journal of Financial and Quanitative Analysis, 12/00/86, DTX 1169 Silverman000478- Silverman000493	
٠		B. WEBER, "Information Technology in the Major International Financial ————————————————————————————————————	
-		Terminal Use Manual - Windows NT Version, Tokyo International Financial Futures Exchange (LIFFE), 0/0/1994, Silverman002552-Silverman002616, DTX 1226	
7 <u></u>		USPTO Press Belease, "Electronic Patent Application Records Replace Paper Files at USPTO", DTX 2285, 9/19/2007	
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INF	ORMATI	ON DIS	SCLOSURE	Filing Date	05-25-2007	
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Examiner Initials*	Cite No.1	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	J ²
		Memorandum Opinion and Order Re: '132 and '304 Claim Construction [425], 10/31/2006	\
		Memorandum Opinion and Order Re: TT's Motion for Clarification [475], 2/21/2007	
		Memorandum Opinion and Order Re: Non-Infringement [708], 6/20/2007	
		Memorandum Opinion and Order Re: Motions for Reconsideration [875], 8/27/2007	
		Memorandum Opinion and Order Re: "Single Action" Ruling [963], 9/12/2007	
		Memorandum Opinion and Order Re: Preliminary Injunction [83], 2/9/2005	
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		Memorandum Opinion and Order Re: eSpeed's Motion for Summary Judgment of Invalidity Denied [845], 8/21/2007	
		Memorandum Opinion and Order Re: TT's Motion to Preclude Prior Sale Defense Denied [873], 8/27/2007	
		Memorandum Opinion and Order Re: GL's Motion for Beconsideration Denied [994], 9/19/2007	
	***************************************	Memorandum Opinion and Order Re: Priority Date [769], 7/12/2007	
	3	Memorandum Opinion and Order Re: Priority Date [1013], 9/25/2007	
		Memorandum Opinion and Order Re: Prior Public Use [835], 8/16/2007	
e .		Memorandum Opinion and Order Re: Defendant's Motion for Judgment as a Matter of Law on Indefiniteness [1141], 01/02/2008	
	A150	Notification of Docket Entry Re: Defendants eSpeed's Motion for Judgment as a Matter of Law on Invalidity is denied [1140], 01/03/2008	
		Motification of Docket Entry Re: Defendant eSpeed's Motion for a New Trial is denied [1142], 01/03/2008	
		Memorandum Opinion and Order Re: Defendant's Motion for Judgment as a Matter of Law on Willfulness [1144], 01/03/2008	

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INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007
STA	TEMEN	T BY A	PPLICANT	First Named Inventor	6,772,132
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Sheet	1/6	of	IV.	Attorney Docket Number	07-1021-US-REX-1

C	- CH-	NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published.	T²
		Deposition testimony of Hiroyuki Kida dated May 17, 2007 and May 18, 2007 with DDX 617-624, PDX 519-524, PDX 527 and PDX 531	
		Trial testimony of Hiroyuki Kida dated September 28, 2007 and October 1, 2007 with DTX 617	
		Deposition testimony of Atsushi Kawashima dated November 21, 2005 with DDX 178-185	
		Trial testimony of Atsushi Kawashime dated September 26, 2007 with DTX 183	
		Deposition testimony of Philip Carre dated June 22, 2007, September 6, 2007 and September 13, 2007 with DDX 384-385; DDX 473; DDX 494; DDX 527;	
		DDX 537-541; DDX 692;DDX 593A; DDX 595-598; DDX 605; DDX 626; DDX 629;DDX 719-723, DDX 728-732; PDX 897-898 and PDX 896	
*		Deposition testimony of Michael Cartier dated May 9, 2007 with DDX 587-588; DDX 592-583A and PDX 498-500	
		Deposition testimony of Cristina Dobson dated May 18, 2007 with DDX 625-635; DDX 637; PDX 533 and PDX 535	
	/	Deposition testimony of Nicholas Garrow dated June 14, 2007 with DDX 116 and DDX 592	
$\overline{}$		Trial testimony of Nicholas Garrow (via expert witness) dated October 2, 2007	de la constante de la constant

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INF	ORMATIC	ON DIS	SCLOSURE	Filing Date	05-25-2007			
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Sheet	2/6	of	IV.	Attorney Docket Number	07-1021-US-REX-1			

Examiner Initials*	Cite No.1				
		Deposition testimony of Michael Glista dated February 20, 2007 with DDX 382-386			
		Trial testimony of Michael Glista dated Sept. 24, 2007 and Sept. 25, 2007 with DTX 382-388, DTX 524; DTX 570; DTX 579; DTX 592; DTX 3020; DTX 3050; DTX 3057; DTX 3110;			
	-	PTX 1993; PTX 2065; PTX 2092; PTX 2094			
n.	1	Deposition testimony of Laurent Havard dated April 24-26, 2007, May 12, 2007, June 21, 2007 and September 5, 2007 with DDX 506; DDX 508; DDX 517; DDX 539; DDX 551-568;			
por		DDX 570-573; DDX 575; DDX 603; PDX 462; PDX 464-483; PDX 767-769; PDX 771-774; PDX 875-877; PDX 882-888 and PDX 893			
On	I	Trial Testimony of Laurent Havard dated September 21, 2007 with DTX 384; DTX 520; DTX 561-62; DTX 570; DTX 573; DTX 575; DTX 593; DTX 750-52; DTX 3011; DTX 3017-18; DTX 3050;			
40 C		PTX 575; PTX 2064; PTX 2074; PTX 2077; PTX 2079			
m		Deposition testimony of Jean Cedric Jollant dated April 26, 2007 and June 13, 2007 with DDX 384; DDX 517; DDX 520; DDX 551-568; DDX 575-577; PDX 465-483			
Du	5	Trial testimony of Jean Cedric Jollant dated September 20, 2007 with DTX 157; DTX 473; DTX 719; DTX 551-64; DTX 598; DTX 722; DTX 1903; DTX 3009-10; DTX 3014; DTX 3016-18			
June 1		DTX 3020; DTX 3023; DTX 3025; PTX 166; PTX 520; PTX 526; PTX 539; PTX 573; PTX 575; PTX 579; PTX 2065			

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INF	ORMAT	ION DIS	SCLOSURE	Filing Date	05-25-2007
STA	ATEMEN	IT BY A	PPLICANT	First Named Inventor	6,772,132
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M	_	Deposition testimony of Marc Lorin dated September 5, 2007 with DDX 385; DDX 721-722; DDX 730	
Tan	_	Deposition testimony of Christopher Malo dated May 23, 2007 with DDX 524	
an	-	Deposition testimony of Fred Mastro dated May 21, 2007 with DDX 638; PDX 538; PDX 540-543	
pu		Trial testimony of Fred Mastro dated September 25, 2007 with DTX 592	
m		Deposition testimony of William McHorris dated April 10, 2007 with PDX 416-417	
Jus		Deposition testimony of Josephine Sheng dated June 26, 2007 with DDX 520; DDX 522; DDX 536; DDX 575; PDX 493; PDX 683-683a; PDX 775	
pu		Deposition testimony of Bruno Spada dated April 30, 2007 and May 2, 2007 with DDX 384-385; DDX 519-21; DDX 537-38; DDX 579-580; DDX 522; DDX 538; PDX 493-495; PDX 519-522	
α	r	Trial testimony of Bruno Spada dated September 24, 2007 with DTX 308; DTX 384; DTX 518-522; DTX 524; DTX 575; DTX 579-580; DTX 593; DTX 626; DTX 628; DTX 648; DTX 1899	
The	t	DTX 2086; DTX 3020-3021; DTX 3058-3059; DTX 3061; DTX 3085; PTX 737; PTX 840; PTX 2083; PTX 2087; PTX 2099; PTX 2101	
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Mes	1	Deposition testimony of Marcel Tchitchiama dated May 10, 2007-May 11, 2007 with DDX 158-157; DDX 168; DDX 384-85; DDX 538; DDX 592-93A; DDX 595-98; DDX 602-06; DDX 608-11	serie (see
7000	t	PDX 494; PDX 502; PDX 506; PDX 612	
m		Deposition testimony of Neil Treloar dated June 19, 2007 with DDX 384; DDX 539-39A; DDX 724; DDX 726; PDX 492; PDX 750-752	
pu		Trial testimony of Neil Treloar dated September 21, 2007 and September 24, 2007 with DTX 2040-2042	
M	_	Trial testimony of Gerard Varjacques dated September 28, 2007 with PTX 509-510 and PTX 513	
n	_	Deposition testimony of Amy Watson dated June 12, 2007 with DDX 626A; DDX 700 and PDX 636	
n	_	Deposition testimony of Barbara Wattiez dated June 16, 2007 with DDX 719-723	
m		Trial testimony of Barbara Wattiez dated September 28, 2007 with DTX 592-593A; DTX 597-598; DTX 718-719; DTX 722	
Du	_	Deposition testimony of Christopher Buist dated June 22, 2006 with PDX 358-364 and DDX 283-284	
m	_	Deposition testimony of Walter Buist dated June 23, 2006 with DDX 315; PDX 310-315; PDX 365 and PDX 368-370	

Date Considered	2/18/08

*EXAMINER: initial if preference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include 6opy of this form with next communication to applicant.

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33353.				Application Number	90/008,576	
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007	
ST	ATEMEN'	T BY A	PPLICANT	First Named Inventor	6,772,132	
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	(Cas as man	y andata as r	ocessary)	Examiner Name	Jeanne Marie Clark	d 1999/20
Sheet	5/6	of	IV.	Attorney Docket Number	07-1021-US-REX-1	

Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Τ²
m	_	Digital trading facility weekly operations meeting outline, DX 444, DTX 444, CM 006661-CM 006661, 05/10/99	
Mer		Chart re DSM QA Test Plain - project plan in progress, DX 432, DTX 432, 11/04/98	
M		User interface design specification for WIT capital digital stock market, DX 433, DTX 433 CM 008441-CM 008478, 01/18/99	
mu	-	Updated negotiations design to E. Lang from C. Mauro for review and approval prior to patent application, DX 434, CM 008410-CM 008414, DTX 434, 03/18/99	
Du	_	Notes re final additions/revisions, DX 435, CM 007949-CM 007955, DTX 435, 04/02/99	
	_	Position paper: On-line training and customer acquisition; WIT Capital-DSM product launch and related schedule to E. Lang, DX 436, DTX 436, CM 006580-CM 006590, 02/22/99	
In		Meeting outline, DX 428, CM 00750-CM 007501, DTX 428, 09/11/98	
The		Presentation re WIT Capital Digital stock market Phase 1 usability and customer response testing: Preliminary report of findings, DX 429, CM 007446-CM 007468, 05/01/06	
Ju		WIT Capital limit order book to L. Forrest from C. Mauro, DX 425, CM 007382- CM 007411, DTX 425, 04/20/98	
Ju	-	User Interface Design for display options design, DX 426, CM 000249-CM 000287, DTX 426, 07/08/98	

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	ate for form 1449/			e required to respond to a collection	Complete if Known	
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An		Notice of Opposition to a European Patent EP 1319211 B1, ANITRA Medienprojekte GmbH, 1/13/2006	
M		Notice of Opposition to a European Patent by DEUTSCHE BORSE AG, 1/12/2006	
an		Notice of Opposition to a European Patent by EccoWare Ltd., 1/13/2006	
ne		Notice of Opposition to a European Patent by Rosenthal Collins Group LLC, 1/12/2006	
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Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		Declaration of Walter Buist, Exhibit 17, 4/26/2007; with Faxed Signature Page
		Letter from J. WALASKI to the EPO Re: Change of Address, 12/19/2006
	-	A. KLEIN, WallStreet.com- Fat Cat Investing at the Click of a Mouse, Chapt. 14 "Finding Gold In Tribeca", 1998; Exhibit 16
m	_	A. KLEIN, WallStreet.com- Fat Cat Investing at the Click of a Mouse, Chapt. 14-16, 18, 23, 1998; Exhibit 16 (Cont'd)
m		WIT Digital Stock Market, User Interface Rev. 9, Exhibit 15
n	_	Opposition Trading Technologies, Inc. Application No. 01920183.9 EP 1319211B1, Exhibit 4 (Japanese and English Versions), 9/00/1997
gn	_	System for Buying and Selling Futures and Options Transaction Terminal Operational Guidlines, TSE Business Systems Dept., TSE647-995, eS062297-eS062380
The	_	Letter from EPO to TT Re: Further European Patent Opposition, 2/23/2006
Du		Letter from EPO to TT Re: Five Recently Filed European Patent Oppositions, 2/21/2006
De		Letter from EPO to TT Enclosing European Patent Oppositions, 1/25/2006

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NON PATENT LITERATURE DOCUMENTS Examiner Cite Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of						
Initials*	No.	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²			
		Opposition EP 1 319 211 B1, Exhibit 1, Japanese Decument (TSE), TSE647-980				
		Opposition TT, EP 1 319 211 B1, Copy set 1, Annex One- Grounds of Opposition, 1/19/2006				
		Deposition Transcript of Atsushi Kawashima, 11/21/2005, Opposition EP 1 319 211 B1 Exhibit 3				
_		The Application Program Interface (API) Reference Manual for LIFFE Connect, 9/00/1998, release 2.7, EP 1 319 211 B1 Exhibit 5, eS0059868-eS0059958				
		The Application Program Interface (API) Reference Manual for LIFFE Connect, 9/00/1998, release 3.0, EP 1 319 211 B1 Exhibit 6, eS0060055-eS0060145				
an	-	The Application Program Interface (API) Reference Manual for LIFFE Connect, 9/00/1998, release 3.1, EP 1 319 211 B1 Exhibit 7A, eS0060146-eS0060237				
		The Application Program Interface (API) Reference Manual for LIFFE Connect, 12/00/1998, release 3.2, EP 1 319 211 B1 Exhibit 7B, eS0060239-eS0060331				
_		The Application Program Interface (API) Reference Manual for LIFFE Connect, 1/00/1999, release 3.3, EP 1 319 211 B1 Exhibit 7C, e30059959 e80060054				
In		Deposition Transcript of Paul MacGregor, 11/1/2005, Opposition EP 1 319 211 B1 Exhibit 9A				
m		APT Trading Procedures (ATOM Version) of LIFFE, 4/3/2001, Opposition EP 1 319 211 B1 Exhibit 9B				

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Sheet	4/8	of	VI.aii	Attorney Docket Number	07-1021-US-REX-1

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4	Jan	_	LIFFE APT User Guide, 1/00/1994, Opposition EP 1 319 211 B1 Exhibit 9C, LIFFE000262-LIFFE000363	1.36
ĺ	pu		APTplus Trading Procedures, 12/28/1995, Opposition EP 1 319 211 B1 Exhibit 9D	
	me	_	IRIS Investment Support Systems Window Ad, Opposition EP 1 319 211 B1 Exhibit 10	
cates			GL TRADE User Guide V4.51- LIEEE Connect for Futures, 6/00/1999, Opposition EP 1 319 211 B1 Exhibit 11	
			Memorandum Opinion and Order Re: Request for Preliminary Injunction [83], 2/9/2005, Opposition EP 1 319 211 B1 Exhibit 12	
Ī			Fig.2 Substitute Sheet (Rule 26), Opposition EP 1 319 211 B1 Exhibit 13A	
			Provisional Application No. 60/186,322, Opposition EP 1 319 211 B1 Exhibit 13B	
			OM CLICK Trade User's Guide for Windows NT, 10/00/1998, Opposition EP 1 319 211 B1 Exhibit 14	8
p 1.			Directory of Software Solutions for LIFFE Connect, 10/00/1998, Opposition EP 1 319 211 B1 Exhibit 8A	
102			Directory of Software Solutions for LIFFE Connect, 2/00/1999, Opposition EP 1	

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Complete If Known Substitute for form 1449/PTO **Application Number** 90/008,576 INFORMATION DISCLOSURE Filing Date 05-25-2007 STATEMENT BY APPLICANT First Named Inventor 6,772,132 Art Unit 3993 (Use as many sheets as necessary) Examiner Name Jeanne Marie Clark Sheet Attorney Docket Number 5/8 VI.ali 07-1021-US-REX-1

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_		Directory of Software Solutions for LIFFE Connect, 6/00/1999, Opposition EP 1 319 211 B1 Exhibit 8C	
per	_	LIFFE's New Electronic Trading Platform for Futures, LIFFE 202-261, Opposition EP 1 319 211 B1 Exhibit 8D	
an	_	TIFFE Internet Article, "New On-Screen Trading Terminals", E2	
		Japanese Document, TSE00047-981, DX 179, D1(1)	1
		System for Buying and Selling Futures and Options Transaction Terminal Operational Guidlines, TSE Business Systems Dept, TSE00647-810, eS0622977-eS062366, D1(2)	1
Ju	-	ORC Instructions for Use, Version 2.2.8., 1999	
<u> </u>		Futures/Options Trading System Guidlines for Operating the Trading Terminals, TSE Business Systems Dept, TSE00628-643, eS062278-eS062293, D1(3)	
M	_	GL Trade Users Guide V4.51, LIFFE Connect for Futures, 6/00/1999, D2	
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	Examiner Initials*	Examiner initials* No.1	Examiner Initials* No.¹ Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. Directory of Software Solutions for LIFFE Connect, 6/00/1999, Opposition EP 1 319 211 B1 Exhibit 8C LIFFE's New Electronic Trading Platform for Futures, LIFFE 202-261, Opposition EP 1 319 211 B1 Exhibit 8D TIFFE Internet Article, "New On-Screen Trading Terminals", E2 Japanese Document, TSE00047-981, DX 179, D1(1) System for Buying and Selling Futures and Options Transaction Terminal Operational Guidlines, TSE Business Systems Dept, TSE00647-810, es0622977-es062366, D1(2) ORC Instructions for Use, Version 2.2.8., 1999 Futures/Options Trading System Guidlines for Operating the Trading-Terminals, TSE Business Systems Dept, TSE00628-643, es062278-es062293, D1(3)

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Jeanne Marie Clark

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Substitute for form 1449/PTO

Application Number 90/008,576

Filling Date 05-25-2007

STATEMENT BY APPLICANT First Named Inventor 6,772,132

Art Unit 3993

Attorney Docket Number

Examiner Name

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Sheet 6/8

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-Issue number(s), publisher, city and/or country where published.	T²
(pe	-	Securities Industries News, "TT Upgrades Software Platform", 8/28/2000 (D6)	
Que		Letter to EPO from Karl Barnfather Enclosing Notice of Opposition (form 2300.1) and Grounds of Opposition (Annex 1), 1/12/2006	
an		Dow Jones & Reuters Factiva, "Firms Rush to Make LIFFE Connect Decision", 12/4/1998, E6	
On	\downarrow	Dow Jones & Reuters Factiva, "Date Broadcasting Partners with Alltech Investment to Provide Customers with Online Trading", 2/25/1999, E8	
Du	_	Trading Pad Summary Document (E2)	
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intra _	+-	Japanese Document, TSE00647-981, 12/1/2006 (E4), with Translation	1
_		Japanese Document, TSE00609-627, 12/1/2006 (E5), with Translation	1

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STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132
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Sheet	7/B	of	VI.ali	Attorney Docket Number	07-1021-US-REX-1

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me		TT X-Trader Brochure, 12/1/2006 (E7)	
m		MINEX Service Outline User Test/Orientation, 9/00/1992 (E9)	
m		Letter to J. Walanski from EPO Re: Payment, 4/20/2005	
m		Letter to J. Walanski from EPO Re: Decision to Grant TT Patent, 3/3/2005	
m		German Document from Tick-IT GmbH Filing New European Opposition, 1/14/2006	
m	_	Faxed copy of German Document from Tick-IT GmbH Filing New European Opposition, 1/13/2006	

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Examiner	Cite	Document Number	Publication Date	Name of Patentse or	Pages, Columns, Lines, Where
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-		US-WO 99/19821	04/22/1999	MAY, Raymond	
_	_	WO 99/53424	04/09/1999	IMPINK, Albert	
0.750		US- WO 98/49639	04/29/1998	LAWRIE, Rederick	
Du		^{US-} 5,297,031	03/22/1994	Gutterman, et al.	
7	-	us-WO 91/14231	09/19/1991	Gutterman, et al. (E1)	
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		US-WO 99/19821	4/22/1999	Raymond MAY	
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	WO 99/53414	04/09/199	IMPINK Albert	·	_
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Jeanne Marie Clark

07-1021-US-REX-1

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	NON PATENT LITERATURE DOCUMENTS				
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اردم	л.		"Next-Generation Futures Options Trading System", Participants Seminar Materials, TSE Publication 1 (Japanese), 9/00/1997, TSE609-TSE627, REFCO6679-6697	-	
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	gu	-	Callouts from TSE Publication 2 including reference numerals used in English translation (Japanese, full translation of Publication 2 included supra)		
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