

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

---

Case CBM2015-00182  
Patent No. 6,772,132

---

**PETITIONERS' UPDATED EXHIBIT LIST**

**PETITIONERS' UPDATED EXHIBIT LIST**

<b>Exh. No.</b>	<b>Description</b>
<b>1001</b>	U.S. Patent No. 6,772,132 to Kemp, II <i>et al.</i> (“’132 patent”)
<b>1002</b>	File History of Application Ser. No. 09/590,692, which became the ’132 patent, as filed and obtained from PAIR (“’132 Patent File History”)
<b>1003</b>	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”)
<b>1004</b>	Request for Reexamination of U.S. Patent No. 6,772,132, Control No. 90/011,250, filed September 22, 2010 (“Reexam Request”)
<b>1005</b>	Order Denying Request for Reexamination of U.S. Patent No. 6,772,132, Control No. 90/011,250, mailed December 14, 2010 (“Order Denying Reexam Req.”)
<b>1006</b>	Expert Declaration of David Rho (“Rho Decl.”)
<b>1007</b>	Expert Declaration of Kendyl A. Román (“Román Decl.”)
<b>1008</b>	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”)
<b>1009</b>	Transcript of the Deposition of Christopher Thomas, April 28, 2015 (“Thomas Tr.”)
<b>1010</b>	U.S. Patent No. 5,077,665 to Silverman <i>et al.</i> (“Silverman”)
<b>1011</b>	U.S. Patent No. 5,297,031 to Gutterman <i>et al.</i> (“Gutterman”)
<b>1012</b>	WO 90/11571 to Belden <i>et al.</i> (“Belden”)
<b>1013</b>	CA Publication No. CA 2,305,736 to May (“May”)
<b>1014</b>	U.S. Patent No. 5,263,134 to Paal <i>et al.</i> (“Paal”)
<b>1015</b>	U.S. Patent No. 5,960,411 to Hartman <i>et al.</i> (“Hartman”)
<b>1016</b>	“Futures/Option Purchasing System Trading Terminal Operation Guidelines,” Tokyo Stock Exchange (“TSE JP”)
<b>1017</b>	Certified Translation of “System for Buying and Selling Futures and Options Transaction Terminal Operational Guidelines” (“TSE”)
<b>1018</b>	Certificate of Translation for “System for Buying and Selling Fu-

<b>Exh. No.</b>	<b>Description</b>
	tures and Options Transaction Terminal Operational Guidelines” (“TSE Certificate”)
<b>1019</b>	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 (“Depo. Transcript”)
<b>1020</b>	David M. Weiss, “After the Trade is Made,” 1993 (“Weiss”)
<b>1021</b>	Robert Deel, “The Strategic Electronic Day Trader,” 2000 (“Deel”)
<b>1022</b>	Alan Cooper, “About Face: The Essentials of User Interface Design,” First Edition, 1995. (“Cooper”)
<b>1023</b>	Ben Shneiderman, “Designing the User Interface: Strategies for Effective Human-Computer Interaction,” Third Edition, 1998 (“Shneiderman”)
<b>1024</b>	Microsoft Computer Dictionary, Fifth Edition, 2002, pages 150 (“Microsoft Computer Dictionary”)
<b>1025</b>	Curriculum Vitae of Kendyl A. Román (“Román CV”)
<b>1026</b>	List of Materials Considered by Kendyl A. Román (“Román List of Materials”)
<b>1027</b>	Curriculum Vitae of David Rho (“Rho CV”)
<b>1028</b>	List of Materials Considered by David Rho (“Rho List of Materials”)
<b>1029</b>	INTENTIONALLY LEFT BLANK
<b>1030</b>	U.S. Patent No. 6,408,282 to Buist (“Buist”)
<b>1031</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00135, Paper 17 (“POPR”)
<b>1032</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00135, Paper 19 (“Ins. Dec.”)
<b>1033</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00135, Paper 29 (“Reh’g Dec.”)
<b>1034</b>	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00135, Paper 32 (“POR”)

<b>Exh. No.</b>	<b>Description</b>
<b>1035</b>	<i>Trading Techs. Int'l. v. CQG</i> , No. 05-cv-4811, Slip. Op. (N.D. Ill. Feb. 24, 2015) (“TT v. CQG Slip. Op.”)
<b>1036</b>	Inside Macintosh, Promotional Edition, Apple Computer, Inc., 1985 (“Inside Macintosh”)
<b>1037</b>	Valerie Illingworth, and I. C. Pyle, Dictionary of Computing, 4th Ed, Oxford University Press, 1996 (“Oxford Dictionary”)
<b>1038</b>	Declaration of Adam Kessel in Support of Petitioner’s Motion for <i>Pro Hac Vice</i> Admission
<b>1039</b>	Email Correspondence of April 5, 2016
<b>1040</b>	Email Correspondence of April 12-13, 2016
<b>1041</b>	Teleconference in CBM2015-00179 of March 23, 2016

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Date: April 29, 2016

/Richard M. Bemben #68658/

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600

Robert E. Sokohl (Reg. No. 36,013)  
Lori A. Gordon (Reg. No. 50,633)  
Richard M. Bemben (Reg. No. 68,658)  
Attorneys for Petitioners

**CERTIFICATION OF SERVICE**

The undersigned hereby certifies that copies of the foregoing **PETITIONERS' UPDATED EXHIBIT LIST** and **EXHIBITS 1039-1041** were served on April 29, 2016, via e-mail in their entireties on the following counsel of record for Patent Owner:

Erika H. Arner (Lead Counsel)  
Joshua L. Goldberg (Back-up Counsel)  
Kevin D. Rodkey (Back-up Counsel)  
Rachel L. Emsley (Back-up Counsel)  
FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, LLP  
[erika.arner@finnegan.com](mailto:erika.arner@finnegan.com)  
[joshua.goldberg@finnegan.com](mailto:joshua.goldberg@finnegan.com)  
[kevin.rodkey@finnegan.com](mailto:kevin.rodkey@finnegan.com)  
[rachel.emsley@finnegan.com](mailto:rachel.emsley@finnegan.com)  
[trading-tech-CBM@finnegan.com](mailto:trading-tech-CBM@finnegan.com)

Steven F. Borsand (Back-up Counsel)  
Trading Technologies International, Inc.  
[tt-patent-cbm@tradingtechnologies.com](mailto:tt-patent-cbm@tradingtechnologies.com)

Michael D. Gannon (Back-up Counsel)  
Leif R. Sigmond, Jr. (Back-up Counsel)  
MCDONNELL, BOEHNEN, HULBERT & BERGHOFF LLP  
[gannon@mbhb.com](mailto:gannon@mbhb.com)  
[sigmond@mbhb.com](mailto:sigmond@mbhb.com)

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Date: April 29, 2016

/Richard M. Bemben #68658/

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600  
2803560\_1.DOCX

Robert E. Sokohl (Reg. No. 36,013)  
Lori A. Gordon (Reg. No. 50,633)  
Richard M. Bemben (Reg. No. 68,658)  
Attorneys for Petitioners