

Paper No. \_\_\_\_  
Filed: August 16, 2016

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 CBM2015-00182  
U.S. Patent 6,772,132

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**PATENT OWNER'S UPDATED EXHIBIT LIST**

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 IBG, LLC, Interactive Brokers LLC,

TradeStation Group, Inc., TradeStation Securities, Inc., TradeStation

Technologies, Inc., and IBFX, Inc. Exhibits 2394 and 2404 - 2406 are reserved for

later use. Exhibits 2395 - 2403 and 2407 were filed on PTAB E2E and served via

email to counsel of record for the Petitioner.

<b>Filed Exhibits</b>	<b>Description</b>
Exhibit 2001	Transcript of Teleconference with the Board, dated Nov. 23, 2015
Exhibit 2002	<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 2003	Meyers, Brad A. "A Brief History of Human-Computer Interaction Technology." <i>Interactions</i> 5.2 (1998): 44-54
Exhibit 2004	National Aeronautics and Space Administration Web Page Print out, Technical Areas
Exhibit 2005	National Aeronautics and Space Administration Web Page Print out, Human Computer Interaction Group
Exhibit 2006	University of Washington Web Page Print out, Human-Computer Interaction Degree Option
Exhibit 2007	Rochester Institute of Technology Web Page Print out, Masters in Human Computer Interaction
Exhibit 2008	Rensselaer Polytechnic Institute Web Page Print out, M.S. in Human-Computer Interaction
Exhibit 2009	Tufts University Web Page Print out, Human-Computer Interaction Certificate Program
Exhibit 2010	Georgia Institute of Technology Web Page Print out, Human-Computer Interaction Master's Program
Exhibit 2011	DePaul University Web Page Print out, Master of Science Human-Computer Interaction

Exhibit 2012	Carnegie Mellon University Web Page Print out, Masters of Human-Computer Interaction
Exhibit 2013	Senate Congressional Record, S936-S953 (Feb. 28, 2011)
Exhibit 2014	<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 2015	Markup of H.R. 1249, The America Invents Act, House of Representatives Committee on the Judiciary (Apr. 14, 2011)
Exhibit 2016	<i>Study and Report on the Implementation of the Leahy-Smith America Invents Act</i> , USPTO Report to Congress (Sept. 2015)
Exhibit 2017	<i>Trading Techs. Int'l v. BGC Partners, Inc.</i> , Case No. 10-C-715 (N.D. Ill.), Dkt. 613, Supplemental Response of Certain Defendants to TT's Emergency Motion (July 20, 2015)
Exhibit 2018	<i>Trading Techs. Int'l v. BGC Partners, Inc.</i> , Case No. 10-C-715 (N.D. Ill.), Transcript of Proceedings - Motion (Sept. 10, 2015)
Exhibit 2019	<i>TD Ameritrade Holding Corporation et al. v. Trading Techs. Int'l, Inc.</i> , Case No. CBM2014-000131, Ex. 1032, Declaration of Kendyl A. Román (May 17, 2014)
Exhibit 2020	<i>TD Ameritrade Holding Corporation et al. v. Trading Techs. Int'l, Inc.</i> , Case No. CBM2014-000131, Ex. 2097, Declaration of Harold Abilock (March 6, 2015)
Exhibit 2021	<i>Trading Techs. 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 Hearing (May 3, 2011)
Exhibit 2022	<i>Trading Techs. 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 (Feb. 20, 2014)
Exhibit 2023	<i>Trading Techs. Int'l, Inc. v. BCG Partners, Inc.</i> , Case No. 1:10-CV-00715 (N.D. Ill.), Docket No. 562, Reply Memorandum in Support of the IBG Defendants' Motion to Stay Proceedings Pursuant to Section 18(b) of the America Invents Act (June 18, 2014)
Exhibit 2024	<i>Trading Techs. 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 (June 11, 2014)

Exhibit 2025	<i>Trading Techs. Int'l v. BGC Partners, Inc.</i> , Case No. 10-C-715 (N.D. Ill.), Dkt. 546, Memorandum in Support of the TD Ameritrade Defendants' Motion to Stay Proceedings Pursuant to Section 18(b) of the America Invents Act (May 22, 2014)
Exhibit 2026	<i>Trading Techs. Int'l v. BGC Partners, Inc.</i> , Case No. 10-C-715 (N.D. Ill.), Dkt. 609, Response of Certain Defendants to Trading Technologies' "Emergency" Motion (July 15, 2015)
Exhibit 2027	<i>Trading Techs. Int'l v. TradeStation Securities, Inc.</i> Case No. 10-cv-884 (N.D. Ill.), TradeStation Securities, Inc.'s and TradeStation Group, Inc.'s Initial Invalidity Contentions Pursuant to Local Patent Rule 2.3 (Oct. 12, 2010)
Exhibit 2028	U.S. Patent No. 6,993,572 B2
Exhibit 2029	<i>Trading Techs. Int'l, Inc. v. eSpeed, Inc.</i> , Case No. 1:04-CV-05312 (N.D. Ill.), Volume 11-A Trial Transcript of Proceedings (Sept. 26, 2007)
Exhibit 2030	<i>Trading Techs. Int'l, Inc. v. eSpeed, Inc.</i> , Case No. 1:04-CV-05312 (N.D. Ill.), Jury Verdict Form (Oct. 10, 2007)
Exhibit 2031	<i>Trading Techs. Int'l, Inc. v. eSpeed, Inc.</i> , Case No. 1:04-CV-05312 (N.D. Ill.), Jury Instructions (Oct. 10, 2007)
Exhibit 2032	<i>Trading Techs. Int'l, Inc., v. eSpeed, Inc. et al.</i> , Case No. 04-cv-5312, Dkt. 1140, Notification of Docket Entry (Jan. 3, 2008)
Exhibit 2033	79 Fed. Reg. 74618- 633, USPTO 2014 Interim Guidance on Patent Subject Matter Eligibility (Dec. 16, 2014)
Exhibit 2034	<i>July 2015 Update Appendix 1: Examples</i> , USPTO Examination Guidelines (July 2015)
Exhibit 2035	<i>The American Heritage College Dictionary Fourth Edition</i> , 100 (2002): Definition of "Axis"
Exhibit 2036	Notice of Allowance 09/590,692 (Feb. 10, 2004)
Exhibit 2037	Notice of Intent to Issue Ex Parte Reexamination Certificate 90/008,576 (Jan. 16, 2008)
Exhibit 2038	Decision Denying Request for Ex Parte Reexamination 90/011,250 (July 15, 2011)
Exhibit 2039	Information Disclosure Statement 90/008,576 (Sept. 26, 2008)
Exhibit 2040	<i>Trading Techs. Int'l, Inc., v. eSpeed, Inc.</i> , Case No. 04-cv-5312, Supplemental Invalidity Contentions of eSpeed, Inc., eSpeed International, Ltd., Ecco LLC, and EccoWare Ltd. (May 25, 2007)
Exhibit 2041	Petition to Make Special Under 37 C.F.R. § 1.102(d) 09/590,692 (Aug. 21, 2000)

Exhibit 2042	Excerpts from File History of 09/590,652, Information Disclosure Statements signed by Examiner (various dates)
Exhibit 2043	Corrected Request for Ex Parte Reexamination 90/008,576 (May 25, 2007)
Exhibit 2044	Information Disclosure Statement 90/008,576 (Feb. 28, 2008)
Exhibit 2045	Request for Reexamination 90/011,250 (Sept. 22, 2010)
Exhibit 2046	Non-Final Rejection 09/590,692 (June 8, 2001)
Exhibit 2047	Reserved
Exhibit 2048	Smith, Warren, Subpoena Honyaku English - Japanese Translation List, Google Group Discussion Web Page Print out (Aug. 24, 2007)
Exhibit 2049	Submission of Publications, etc., PCT 2004-504652 (Apr. 18, 2005) (Japanese language original)
Exhibit 2050	Submission of Publications, etc., PCT 2004-504652 (Apr. 18, 2005) (Translation)
Exhibit 2051	Certification of Translation (Nov. 15, 2005)
Exhibit 2052	Japanese Patent 2004-504652
Exhibit 2053	<i>Aurora<sup>tm</sup>: The Most Technologically Advanced Trading System Available Today</i> , Aurora Chicago Board of Trade
Exhibit 2054	Rosenthal Collins Group LLC Notice of Opposition to a European Patent, EP1319211 (Jan. 12, 2006)
Exhibit 2055	Deutsche Börse AG Notice of Opposition to a European Patent, EP1319211 (Jan. 12, 2006)
Exhibit 2056	Eccoware Limited Notice of Opposition to a European Patent, EP1319211 (Jan. 13, 2006)
Exhibit 2057	<i>Trading Techs. Int'l v. CQG, Inc. and CQGT, LLC</i> , Case No. 05-cv-4811 (N.D. Ill.), Dkt. 105, Memorandum Opinion and Order (Oct. 31, 2006)
Exhibit 2058	<i>Trading Techs. Int'l v. CQG, Inc. and CQGT, LLC</i> , Case No. 05-cv-4811 (N.D. Ill.), Dkt. 1043, CQG's Reply Brief Regarding the Patent-Ineligibility/Invalidity of the TT Patents-In-Suit Under 35 U.S.C. § 101 (Feb. 17, 2015)
Exhibit 2059	<i>TD Ameritrade Holding Corporation et al. v. Trading Techs. Int'l, Inc.</i> , Case No. CBM2014-000137, TDA Ex. 1050, Deposition of Harold Abilock (Apr. 24, 2015)
Exhibit 2060	<i>TD Ameritrade Holding Corporation et al. v. Trading Techs. Int'l, Inc.</i> , Case No. CBM2014-000131, Petitioners' Reply to Patent Owner's Response, Paper 48 (May 29, 2015)

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