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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
90/011,250	09/22/2010	6772132	049506/296191	3537

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MBHB/TRADING TECHNOLOGIES
300 SOUTH WACKER DRIVE
SUITE 3200
CHICAGO, IL 60606

EXAMINER

ART UNIT PAPER NUMBER

DATE MAILED: 12/14/2010

Please find below and/or attached an Office communication concerning this application or proceeding.



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EX PARTE REEXAMINATION COMMUNICATION TRANSMITTAL FORM

REEXAMINATION CONTROL NO. 90/011,250.

PATENT NO. 6772132.

ART UNIT 3992.

Enclosed is a copy of the latest communication from the United States Patent and Trademark Office in the above identified *ex parte* reexamination proceeding (37 CFR 1.550(f)).

Where this copy is supplied after the reply by requester, 37 CFR 1.535, or the time for filing a reply has passed, no submission on behalf of the *ex parte* reexamination requester will be acknowledged or considered (37 CFR 1.550(g)).

Order Granting / Denying Request For Ex Parte Reexamination	Control No.	Patent Under Reexamination	
	90/011,250	6772132	
	Examiner	Art Unit	
	Sam Rimell	3992	

--The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

The request for *ex parte* reexamination filed 22 September 2010 has been considered and a determination has been made. An identification of the claims, the references relied upon, and the rationale supporting the determination are attached.

Attachments: a) ☐ PTO-892, b) ☒ PTO/SB/08, c) ☒ Other: Decision

1. ☐ The request for *ex parte* reexamination is GRANTED.

RESPONSE TIMES ARE SET AS FOLLOWS:

For Patent Owner's Statement (Optional): TWO MONTHS from the mailing date of this communication (37 CFR 1.530 (b)). **EXTENSIONS OF TIME ARE GOVERNED BY 37 CFR 1.550(c).**

For Requester's Reply (optional): TWO MONTHS from the **date of service** of any timely filed Patent Owner's Statement (37 CFR 1.535). **NO EXTENSION OF THIS TIME PERIOD IS PERMITTED.** If Patent Owner does not file a timely statement under 37 CFR 1.530(b), then no reply by requester is permitted.

2. ☒ The request for *ex parte* reexamination is DENIED.

This decision is not appealable (35 U.S.C. 303(c)). Requester may seek review by petition to the Commissioner under 37 CFR 1.181 within ONE MONTH from the mailing date of this communication (37 CFR 1.515(c)). **EXTENSION OF TIME TO FILE SUCH A PETITION UNDER 37 CFR 1.181 ARE AVAILABLE ONLY BY PETITION TO SUSPEND OR WAIVE THE REGULATIONS UNDER 37 CFR 1.183.**

In due course, a refund under 37 CFR 1.26 (c) will be made to requester:

- a) ☐ by Treasury check or,
b) ☒ by credit to Deposit Account No. 160605, or
c) ☐ by credit to a credit card account, unless otherwise notified (35 U.S.C. 303(c)).

/Sam Rimell/ Primary Examiner, Art Unit 3992		
cc:Requester (if third party requester)		
U.S. Patent and Trademark Office PTOL-471 (Rev. 08-06)	Office Action in Ex Parte Reexamination	Part of Paper No. 20101116

DECISION ON REQUEST FOR EX PARTE REEXAMINATION

A request for reexamination affecting claims 1-2, 8, 14, 20, 22-23, 25, 27-28, 30, 32-33, 37-38, 40, 42-43, 47-48 and 53 of US Patent 6,772,132 has been received and considered. No substantial new questions of patentability have been raised by the request. Detailed rationale for this finding is set forth in this action.

**References Asserted by Requester as Raising
Substantial New Questions of Patentability**

- U.S. Pre-Grant Publication 2003/0097325 to Friesen et al, published May 22, 2003 and filed April 9, 1999.
- U.S. Patent 5,297,031 to Guterman et al, published March 22, 1994 and filed March 6, 1990.
- U.S. Patent 7,212,999 to Friesen et al, published May 1, 2007 and filed April 9, 1999.
- LIFFE. The Application Program Interface (API) reference manual for LIFFE CONNECT, September 1998, Release 3.1, published by LIFFE, London England (hereafter referred to as LIFFE CONNECT).
- Swiss Exchange SWX, Swiss Exchange SWX TS User Manual, Version 2.1, December 31, 1998, published by Swiss Exchange SWX (hereafter referred to as SWX Manual).

Availability of Asserted References as Prior Art

The references to LIFFE and SWX Manual were published prior to March 2, 2000 effective filing date of U.S. Patent 6,772,132. Accordingly, these references are available as prior art under 35 USC 102(a).

The reference to Guterman et al was published more than one year prior to the March 2, 2000 effective filing date of U.S. Patent 6,772,132 and thus is available as prior art under 35 USC 102(b).

The references to Friesen et al ('325) and Friesen et al ('999) were filed prior to the March 2, 2000 effective filing date of U.S. Patent 6,772,132 and thus are available as prior art under 35 USC 102(e).

Summary of Prosecution History for U.S. Patent 6,772,132

- U.S. application 09/590,692 was filed June 9, 2000.
- A non-final office action was mailed by USPTO on June 8, 2001. Claims 1-21 were withdrawn. Claims 22-40 were rejected under 35 USC 112, second paragraph. Claims 22-40 were rejected under 35 USC 102(e)/103(a) in view of www.tradingtechnologies.com.
- Applicant submitted a response with remarks on October 9, 2001. Claims 1-21 were cancelled. Claims 22, 23, 30 and 36 were amended. Claims 41-88 were added.
- A Notice of Allowance was issued by USPTO on July 13, 2002. Claims 71-88 were indicated as cancelled. Claims 22-70 were indicated as allowed. The attached correspondence includes an initialed form PTO 1449 signed January 9, 2002. Reasons for patentability stated:

“The prior art fails to teach a method of placing a trade order, computer readable medium with instructions for placing a trade order, and/or a client system for placing a trade order comprising a dynamic display and a static display. The static display, directed to the commodity price, does not change. In contrast, the values of the bid/ask, reflecting the market depth for the commodity, are dynamically displayed and are aligned with the corresponding

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