

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.; and IBFX, INC.;  
Petitioners

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.,  
Patent Owner

---

Case CBM2015-00182  
Patent 6,772,132

---

**PETITIONERS' UPDATED EXHIBIT LIST**

***Mail Stop "PATENT BOARD"***  
Patent Trial and Appeal Board  
U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the Board's Order of September 28, 2016 (Paper 101),  
Petitioners submit the following updated exhibit list to accompany submission of  
Exhibit 1058, the Petitioners' demonstrative exhibits for oral argument.

**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>Exh. No.</b>	<b>Description</b>
<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 Futures 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> ,

Exh. No.	Description
	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>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
<b>1042</b>	Transcript of Teleconference, May 2, 2016
<b>1043</b>	Transcript of Teleconference, June 6, 2016
<b>1044</b>	<i>Intentionally left blank</i>
<b>1045</b>	<i>Intentionally left blank</i>
<b>1046</b>	<u>New York Times</u> , “Futures/Options; Automation in Trading,” December 10, 1984
<b>1047</b>	Intex Trading Screen
<b>1048</b>	Commodity Futures Trading Commission, Strategic Plan (2007-2012)
<b>1049</b>	CBM2015-00181 (’411 patent) Patent Owner Exhibit List
<b>1050</b>	CBM2015-00161 (’304 patent) Patent Owner Exhibit List
<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>Exh. No.</b>	<b>Description</b>
<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.

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

Date: October 17, 2016

/Richard M. Bemben/

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600  
3159648\_3.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

# Explore Litigation Insights

Docket Alarm provides insights to develop a more informed litigation strategy and the peace of mind of knowing you're on top of things.

## Real-Time Litigation Alerts



Keep your litigation team up-to-date with **real-time alerts** and advanced team management tools built for the enterprise, all while greatly reducing PACER spend.

Our comprehensive service means we can handle Federal, State, and Administrative courts across the country.

## Advanced Docket Research



With over 230 million records, Docket Alarm's cloud-native docket research platform finds what other services can't. Coverage includes Federal, State, plus PTAB, TTAB, ITC and NLRB decisions, all in one place.

Identify arguments that have been successful in the past with full text, pinpoint searching. Link to case law cited within any court document via Fastcase.

## Analytics At Your Fingertips



Learn what happened the last time a particular judge, opposing counsel or company faced cases similar to yours.

Advanced out-of-the-box PTAB and TTAB analytics are always at your fingertips.

## API

Docket Alarm offers a powerful API (application programming interface) to developers that want to integrate case filings into their apps.

## LAW FIRMS

Build custom dashboards for your attorneys and clients with live data direct from the court.

Automate many repetitive legal tasks like conflict checks, document management, and marketing.

## FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

## E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.