PTO/SB/08B (11-07)
Approved for use through 11/30/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	ite for form 1449/PTO		**************************************		of Information unless it contains a valid OMB control number. Complete if Known
Subsuit	ne idi idili 1443/F10			Application Number	90/008,576
INF	ORMATION	N DIS	CLOSURE	Filing Date	05-25-2007
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132
S.	##	(LISE _ (2	Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	1	of	20	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
¥.	1	eSpeed's Supplemental Invalidity Contentions, 5/25/2007	
	2	eSpeed's Disclosure of Invalidity Contentions Pursuant to 35 USC 282, 5/25/2007	
	3	Invalidity Contentions Re: TradePad Module (Letter Dated 5/25/2007)	
	4	Supplemental Invalidity Contentions Pursuant to 35 U.S.C. 282, 8/10/2007	22
	5	eSpeed's and Ecco's Answers to Plaintiff's Eighth Set of Interrogatories, 8/4/2006	e e e e e e e e e e e e e e e e e e e
	6	eSpeed and Ecco's Supplemental Answers to Plaintiff's First, Third, Seventh, Eighth, and Ninth Set of Interrogatories, 5/25/2007	
	7	eSpeed's Objections and Answers to Plaintiff's Third Set of Interrogatories to Defendant eSpeed, 5/12/2005	
e	8	LIFFE Connect for Futures User Guide V4.50 Beta, 01/00/99, DX 384, G 025623-G 025626, DTX 384	
	9	LIFFE Connect for Futures User Guide V4.50, 02/00/99, DX 593A, G 122900 G-122938, DTX 593A	
11	10	"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	

Examiner /Jeanne Clark/ Signature	Date Considered	09/26/2008	- 17
-----------------------------------	--------------------	------------	------

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

	ite for form 1449/		ct of 1995, no persons ar	Complete If Known		
Substitu	ne for form 1449#	-10	4	Application Number	90/008,576	
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007	
STA	ATEMEN'	T BY A	PPLICANT	First Named Inventor	6,772,132	
*	3.2			Art Unit	3993	
0	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark	
Sheet	2	of	20	Attorney Docket Number	07-1021-US-REX-1	

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Initials*	No.1	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
	11	RCG's Presentation re WitCapital, 4/22/2004, DX 208, RCG 000635-RCG 000663, DTX 208	
	12	MAURO, Certified Patent Application No. 09/292,552, 4/15/1999, DX 209, eS 065994-eS 066149,	
	13	Various declarations Re: Patent Application No. 09292,552, 11/3/2003, DX 284, TT 099877-Tt 099907, DTX 284	
	14	EVENSTREET Presentation prepared for National Discount Brokers, 00/00/1999, DX 301, CM 006787-CM 006817, DTX 301	
	15	WIT DSM user interface instructions, 08/06/98, DX 427, CM 006591-CM 006632, DTX 427	
	16	Presentation re WIT DSM user interface Trade4.ppt, 10/12/98, DX 430, CM 008265-CM 008330, DTX 430	
50	17,	WIT DSM Presentation re Information display and decision variables, 12/20/98, DX 431, CM 004334-CM 004347, DTX 431	
21	18	EVENSTREET Presentation prepared for Flatiron Partners, 00/00/1999, DX 437, CM 007139-CM 007172, DTX 437	
	19	WIT Capital digital trading facility presentation to Goldman Sachs, DX 438, CM 004523-CM 004547, DTX 438	
3.	20	WIT Capital Digital trading facility presentation to PaineWebber, Inc., DX 439, DTX 439	

Examiner		Date	00/20/2000	St. Immedia
Signature	/Jeanne Clark/	Considered	09/26/2008	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

	ite for form 1449/PTC				of information unless it contains a valid OMB control number. Complete If Known
Supento	its for form 1448/FTC	1 0.		Application Number	90/008,576
INF	ORMATIO	N DIS	CLOSURE	Filing Date	05-25-2007
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132
	80	2 2	×	Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	3	of	20	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
	21	WIT Capital after hours trading system, MAURO, 3/19/1999, DX 440, CM 009028-CM 009059, DTX 440	
	22	WIT Capital Corporation digital trading facility presentation, 03/00/99, DX 441, DTX 441	
	23	WIT Capital pdf operator manual for Digital trading facility, 00/00/1999, DX 442, CM 006510-CM 006513, DTX 442	
	24	Overview re Digital trading facility, DX 443, CM 006315-CM 006344, DTX 443	
	25	Photocopy of Disks containing exhibits A and B to declaration of W. Buist, PX366	
	26	SISS Functional specifications version 2.1, 02/16/88, DX 445, DTX 445	
	27	Overview re SPATS; the Electronic Broker, DX 446, DTX 446	
	28	Status review specialist support system study NYSE, 04/10/86, DX 447, DTX 447	
	29	INTEX Trading Screen shots, 01/01/2001, DX 10, eS 0003542-eS 0003543, DTX 10	
	30	Sample screens of APT system, DX 150, DTX 150	

Examiner /Jeanne Clark/	Date Considered	09/26/2008
---------------------------	--------------------	------------

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandría, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandría, VA 22313-1450.

PTO/SB/08B (11-07)

Substitu	te for form 1449/	PTO.			Complete if Known
Subsuu	10 10 10 111 144			Application Number	90/008,576
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007
STA	ATEMEN	T BY A	PPLICANT	First Named Inventor	6,772,132
				Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	4	of	20	Attorney Docket Number	07-1021-US-REX-1

Examiner	Cite	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	172
Initials*	No. ¹	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
	31	Photo of trader w/ APT screen, DX 151, LIFFE 00167-LIFFE 00168, DTX 151	
	32	APT User Guide, 01/00/94, DX 152, LIFFE 000262-LIFFE 000363, DTX 152	
	33	LIFFE guide/pamphlet, DX 148, DTX 148	
	34	Release Notes - Market Trader V5.2a, 03/18/99, DX 617, G 118137-G 118152, DTX 617	
	35	MIDAS KAPITI Delivery Note and Release Note- Market Trader V5.2b, 03/31/1999, DX 619, G 096511-G 096527, DTX 619	
	36	MIDAS KAPITI Release Notes - Market Trader V5.2e, 04/12/1999, DX 620, G 096694- G 096711, DTX 620	
28-2	37	MIDAS KAPITI Release Notes - Market Trader V5.2, DX 621, G 096712 -G 096727, DTX 621, 05/26/99	-
	38	MIDAS KAPITI Release Notes - Market Trader V5.2e, DX 622, G 096728- G 096754, DTX 622, 06/01/99	
	39	MIDAS KAPITI Delivery Note and Release Note- Market Trader V5.2e, DX 623, G 105641- G 105667, DTX 623, 5/26/99	
	40	Drawing of 1997 TSE terminal by H. KIDA, DX 624, DTX 624	

Examiner Signature /Jeanne Clark/	Date Considered	09/26/2008	
-----------------------------------	--------------------	------------	--

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

	ite for form 1449/	CENTROSES			Complete If Known	
3005000	ILE IOI IOIIII 1448/	F10		Application Number	90/008,576	
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007	17/32-1973
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132	
	<i></i>			Art Unit	3993	
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark	
Sheet	5	of	20	Attorney Docket Number	07-1021-US-REX-1	

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Initials*	No.1	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
	41	Directory of Software Solutions for LIFFE Connect, 02/0099, DX 156, DTX 156	
	42	ScreenShots: Patsystem "Canned" Demo, 02/00/97, DX 120, PATS 00545- PATS 00559, DTX 120	
	43	PTS Client Version 2.1F, DX 119, PATS 00067-PATS 00082, DTX 119	
	44	PTS trading application Version 1.1 Beta H.1, 03/31/1998, DX 118, PATS 00560 -PATS 00560, DTX 118	
	45	Directory of Software Solutions for LIFFE Connect, Issue 1, 10/00/1998, DX 155, DTX 155	Personal Control
	46	Trading Technologies Trader System User Documentation, 04/01/98, Release 3.10, DX 3, TT 015867-TT 015955, DTX 3	
	47	Aurora Chicago Board of Trade Brochure, 1990, ES0021230-ES0021241	
	48	Ecco Consulting Study Report MEFF Software Systems, 3/17/1999, ES0060578-ES0060591	
	49	Osaka Stock Exchange Manual (Japanese Document), 4/1996 REFCO0009773-REFCO0009826	•
	50	TIFFE Manual (Japanese Document), 1/1996, REFCO0010861- REFCO0011210,	

Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.C./
Approved for use through 11/30/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE.
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE.

Subella	ate for form 1449/PTO				Complete if Known
Subsut	318 101 101111 1449/1-10			Application Number	90/008,576
INF	ORMATION	N DIS	SCLOSURE	Filing Date	05-25-2007
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132
ä				Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	6	of	20	Attorney Docket Number	07-1021-US-REX-1

Examiner	Cite	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	<u> </u>
Initials*	No.1	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
	51	Final Detailed Design Document NYMEX ACCESS, 5/5/1992, eS0003127-eS0003541	2753101
	52	The Application Program Interface (API) Reference Manual for LIFFE Connect, Release 2.7, 9/1998, DDX 163, DTX 163, eS00059868-eS00059958	
	53	OM CLICK Trade User's Guide for Windows NT, 10/00/1998, eS00064671-eS00064773	
	54	Swiss Exchange SWX Exchange TS User Manual V2.1, 12/31/1998	
	55	GLOBEX Members Handbook, 6/00/1992, DX632, DTX632, eS006974-eS0069818	Andra Andra
	56	GLOBEX User Guide, 1/00/1997, DX 663, DTX 663, eS0069819-eS0070081	
	57	Chicago Mercantile Exchange (CME) GLOBEX Brochure, 3/30/1989, DX634, DTX634, eS003958-eS0003981	
	58	The Complete GLOBEX2 Handbook, 5/00/1998, DX635, DTX635, CME-E0010679-0010891	÷
	59	The Complete GLOBEX2 Handbook, 7/00/1998, DX637, DTX637, CME-E 014048- CME-E 014286	
i	60	MINEX Service Outline User Test/Orientation, 9/1992, eS0064647- eS0064670	

<u></u>			·
Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 11/30/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
a collection of Information unless it contains a wall-fold?

	ite for form 1449/PTC				Complete if Known
Oubsule	ite for form 144001 14	•		Application Number	90/008,576
INF	ORMATIO	N DIS	CLOSURE	Filing Date	05-25-2007
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132
				Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	7	of	20	Attorney Docket Number	07-1021-US-REX-1

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Initials*	No.1	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
	61	ORC Instructions for Use Version 2.2.8., 0/0/1999, eS0064775-eS0032572	
	62	INTERACTIVE BROKERS, "Trade Futures Online with Interactive Brokers", 5/9/2005, eS0032571- eS0032572	
	63	NICHOLAS ECONOMIDES, "Electronic Call Market Trading", Journal of Portfolio Management, 2/00/1995, eS0069585-eS0069610	
Audika 1	64	MAURO, KLEIA, BUIST, 4/15/1999, EM 061 020 474 File Wrapper	
	65	GL WIN Trade Manual Version 4.50, 3/3/1999, G0025683-G0025719	
The section of	66	TradePad Instuctions (French), G0025748-G0025749	
	67	TradePad.vsd Document, 2/9/1999, G011169-G0111670	
- 12 - 12 - 12 - 12 - 12 - 12 - 12 - 12	68	GL WIN et Logiciels complementaires (French), 10//00/99, G009121-G009486	
	69	Memo re: Dual ACCESS Version 4.5 release, 3/21/99, G0022956-G0022959:	
	70	CAC and STOXX FUTURES on MATIF NSC VF Launch: 3/15/99, G0025669-G0025682	

Examiner Signature /Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

	te for form 1449/P7			e required to respond to a collection	Complete if Known			
Substitu	te 101 101111 1445/F 1		×	Application Number	90/008,576			
INF	ORMATIC	N DIS	CLOSURE	Filing Date	05-25-2007			
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132			
	//les es =====			Art Unit	3993			
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark			
Sheet	Sheet 8 of 20		Attorney Docket Number	07-1021-US-REX-1				

Cua mina -	Cita	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Examiner Initials*	Cite No. ¹	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
	71	LIFFE Connect Futures Release Note 050399.doc, 3/3/1998, G0111402-G0111407	
	72	TradingPad.doc, 4/30/1999, G0112117-G0112122	
1.00	73	TradingPadUserManual.doc, 8/10/1999, G0112123-G0112131	
	74	FUTURES CAC et STOXX sur MATIF NSC VF (French), 3/15/99, G0118814-G0118828	
	75	GL Trade Presentation (French), 4/25/1999, G0118989-G0119044	
1100	76	LIFFE CONNECT FUTURES Functional Technical Issues to Resolve, 4/12/2007, G0119049-G0119050	
	77	Member Participation in the Futures Market, 04/12/1999, G0119196-G0119197	
	78	Email from PATRICIA GAUTHIER to Sam Page, 1/25/1999, G0119377-G0119380	
	79	LIFFE CONNECT ISV CIRCULAR NO: 001.99, 1/8/1999, G0119566-G0119568	
	80	LIFFE CONNECT ISV CIRCULAR NO: 14.99, 3/2/1999, G0119583-G0119590	

7			Asset Columnia College College
Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through ditation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.C./ PTO/SB/08B (11-07)
Approved for use through 11/30/2007, OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	ute for form 1449/PT				Complete If Known	
Subsult	118 IOF 101111 1449/F1	U	47	Application Number	90/008,576	
INF	ORMATIC	N DIS	CLOSURE	Filing Date	05-25-2007	
STA	ATEMENT	BY A	PPLICANT	First Named Inventor	6,772,132	
				Art Unit	3993	
(Use as many sheets as necessary)				Examiner Name	Jeanne Marie Clark	
Sheet	9	of	20	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
	81	LIFFE CONNECT ISV CIRCULAR NO: 004.99, 1/15/1999, G119615-G0119616	
	82	LIFFE CONNECT ISV CIRCULAR NO: 001.99, 1/15/1999, G0119617-G0119618	
16	83	LIFFE CONNECT ISV CIRCULAR NO: 008.98, 12/28/1998, G0119631-G0119632	
-2 C.V.III (M. 11 C. 11 CO.)	84	LIFFE CONNECT for FUTURES: Project Update 2, Meeting of 2/10/99, G0119698-G0119704	
	85	LIFFE CONNECT for FUTURES: Project Summary: 4/19/99, G0119705-G0119717	
	86	Functional Enhancements for LIFEE CONNECT for FUTURES Project, 4/12/1999, G0119718-G0119724	
\$	87	Functional Enhancements for LIFEE CONNECT for FUTURES Project, 4/12/99, G0119725-G0119745	
	88	Functional Enhancements for LIFEE CONNECT for FUTURES Project, 3/3/99	
	89	Installation, Market Entry Test, and Technical Dress Rehearsal Summary, 2/23/99	
	90	GL Trade Checklist-Installation Requirements for FUTURES, Jan. 1999, G0119795-G0119798	

Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial If reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of Information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitu	ute for form 1449/	PTO			Complete If Known
Ouboun		. 10		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
	Ales so mor	a k anda an .	NO DOMEST	Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	10	of	20	Attorney Docket Number	07-1021-US-REX-1

		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.	T ²
	91	Keyboard example, 2/3/2006, G007308-G007310	
Q.	92	GL Brochure, G0021652-21658	
(93	GL Cost and Services, 00/00/1998, G0108876	
	94	GL Win Summary (French), 6/00/1998, G0091004-G0091046	
*	95	Globex brochure, DTX 17, 00/00/1989, eS0003958-eS0003981	
•	98	Swiss Exchange SWX - TS User Manual, 12/31/1998, DTX 2215, eS0032293-eS0032547	
	97	Screen No. 100-Order Book & Order Entry 1 (Single View), eS060637-eS060639	
-	98	GLOBEX User Guide, 01/00/97, DDX 633, DTX 633, eS069819-eS070081	
	99	LIFFE APT User Guide, 01/00/1994, LIFFE000262-LIFFE000363	
	100	PTS trading application Version 1.1 Beta H.1, 3/31/1998, DDX 118, DTX 118, PATS00560-PATS00560	

Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not cliation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

	te for form 1449/P		ct of 1995, no persons ar	Complete if Known		
Substitu	de for form 1449/P	10		Application Number	90/008,576	
INF	ORMATIC	ON DIS	CLOSURE	Filing Date	05-25-2007	
STA	TEMEN	T BY A	PPLICANT	First Named Inventor	6,772,132	
	122			Art Unit	3993	
	(Use as man	y sheets as i	necessary)	Examiner Name	Jeanne Marie Clark	
Sheet	11	of	20	Attorney Docket Number	07-1021-US-REX-1	

		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.	T ²
	101	X_Trader User Documentation Manual Release 3.10, 4/1/1998, TT0015867-15955	
	102	Trading Pad Manual, G0026560-26567	
	103 -	QuickTrade Document and Brochure, G021027-21031	
	104	"LIFFE CONNECT for Futures User Guide v4.51", 6/00/1999, G0025815-25822	
	105	GL Version 4.70 (French Version), 1/5/2000, GO026505-26533	
	106	GL Version 4.70 (English Version), 1/5/2000, G0020593-20621	
	107	GL WIN and Related Software Manual, 9/11/2000, 1) G0025251-25615	
	108	GL WIN and Related Software Manual, 2) G0025942-26267	
	109	GL WIN and Related Software Manual, 3) G010239-10610	
	110	GL WIN et Logiciels complementaires (French), G0009495-9874	

Lo: / / / / / / / / / / / / / / / / / / /	Date Considered	09/26/2008
---	--------------------	------------

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (11-07)

	ite for form 1449/	A S A S A S A S A S A S A S A S A S A S	(5) (5) (1) (1) (1) (1) (1) (1) (1) (1) (1) (1	e required to respond to a collection	Complete if Known		
Subsuit	AS IOI IOIII 1443/	r.io		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		
				Art Unit	3993		
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark		
Sheet	12	of	20	Attorney Docket Number	07-1021-US-REX-1		

Examiner nitials*	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
	111	"CAC and STOXX Futures on MATIF NSC VF", 3/13/1999, G0025720-25733	
	112	"Introducing the Company: GL Trade" product offerings and slide presentation (to Reuters), G0026534-26559	
	113	THOMSON FINANCIAL leaflet, 09/00/2003, G0022445-22450	
	114	LIFFE CONNECT for Futures leaflet, G0023885-23888	
	115	CAC And STOXX Futures On Matif NSC VF- GLWIN User Information Note, 3/15/1999, G0026455-2646	
8	116	TSE Japanese Document, pgs 4-15	
	117	TSE Japanese Document, pgs 6-15	
	118	Megumi MIYOSHI, Japanese Patent Application No. 2001-564025, 4/18/2000	
	119	"Amazon.com Catapults Electronic Commerce to Next Level with Powerful New Features," Amazon.com Press Release, 9/23/97, DTX1034, Dezmelyk000012-13	

Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant,

Considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 11/30/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
a collection of information upless is positive and trademark of the control of the contr

Subelite	ite for form 1449/F	eTO.	2484 2003000000 0 100		Complete if Known
Ouvelle	io ioi ioiii 144air	10		Application Number	90/008,576
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007
STA	TEMEN	T BY A	PPLICANT	First Named Inventor	6,772,132
				Art Unit	3993
	(Use as man	y sheets as i	iecessary)	Examiner Name	Jeanne Marie Clark
Sheet	13	of	20	Attorney Docket Number	07-1021-US-REX-1

		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
	120	Apple Advertisement, Scientific American, September 1984, Scientific American Inc. NY, NY Dezmelyk000014-33	
	121	Memo Re: Downloading the Terminal Program, 8/18/2005	
- dku	122	"Specialist vs Saitori: Market-Making in New York and Tokyo", Richard LINDSAY and Ulrike Schaede, DTX 1170, 7-8/00/1992, Silverman000494-Silverman000506	
0	123	"Building for Excellence", MINEX Brochure, DTX 1153, Silverman000330-Silverman000334	
	124	Chicago Mercantile Exchange (CME) Brochure, DTX1163, Silverman000406- Silverman000407	
	125	MEFF Renta Fija Manual, DTX 1165, 10/00/1997, Silverman000410-Silverman000473	
	126	O'HARA and OLDFIELD, "The Microeconomics of Market Making", Journal of Financial and Quanitative Analysis, 12/00/86, DTX 1169 Silverman000478- Silverman000493	
ĸ	127	B. WEBER, "Information Technology in the Major International Financial Markets", 4/7/1993, DX 79	
	128	Terminal Use Manual - Windows NT Version, Tokyo International Financial Futures Exchange (LIFFE), 0/0/1994, Silverman002552-Silverman002616, DTX 1226	

Examiner /Jeanne Clark/ Dat Cor	e 09/26/2008
---------------------------------------	--------------

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (11-07)
Approved for use through 11/30/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Discolor of information unless it contains a unit of the contains a unit o

	ite for form 1449/	W-01-10	ct of 1995, no persons ar	Complete if Known			
Guosaa	ALD TOT TOTAL THE		34	Application Number	90/008,576		
INF	ORMATI	ON DIS	CLOSURE	Filing Date	05-25-2007	22	
STA	ATEMEN	T BY A	PPLICANT	First Named Inventor	6,772,132		
y)		ny sheets as n		Art Unit	3993		
	(Use as mai	ny sneets as n	recessary)	Examiner Name	Jeanne Marie Clark		
Sheet	14	of	20	Attorney Docket Number	07-1021-US-REX-1		

		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
ACCOMP	129	USPTO Press Release, "Electronic Patent Application Records Replace Paper Files at USPTO", DTX 2285, 9/19/2007	
	130	Memorandum Opinion and Order Re: '132 and '304 Claim Construction [425], 10/31/2006	
	131	Memorandum Opinion and Order Re: TT's Motion for Clarification [475], 2/21/2007	
(e)	132	Memorandum Opinion and Order Re: Non-Infringement [708], 6/20/2007	
	133	Memorandum Opinion and Order Re: Motions for Reconsideration [875], 8/27/2007	
	134	Memorandum Opinion and Order Re: "Single Action" Ruling [963], 9/12/2007	
	135	Memorandum Opinion and Order Re: Preliminary Injunction [83], 2/9/2005	
(f)	136	Memorandum Opinion and Order Re: eSpeed's Motion for Summary Judgment of Invalidity Denied [845], 8/21/2007	
	137	Memorandum Opinion and Order Re: TT's Motion to Preclude Prior Sale Defense Denied [873], 8/27/2007	
0	138	Memorandum Opinion and Order Re: GL's Motion for Reconsideration Denied [994], 9/19/2007	

Examiner	/Jeanne Clark/	Date	09/26/2008
Signature	700amino Olamo	Considered	09/20/2000

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through distation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (11-07)

	te for form 1449/P		ct of 1995, no persons ar	Complete if Known		
Subsulu	to for form 1448/F	10		Application Number	90/008,576	
INF	ORMATIC	ON DIS	CLOSURE	Filing Date	05-25-2007	
STA	TEMENT	BYA	PPLICANT	First Named Inventor	6,772,132	
	# 1			Art Unit	3993	
(Use as many sheets as necessary)				Examiner Name	Jeanne Marie Clark	
Sheet	15	of	20	Attorney Docket Number	07-1021-US-REX-1	

		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
	139	Memorandum Opinion and Order Re: Priority Date [769], 7/12/2007	
	140	Memorandum Opinion and Order Re: Priority Date [1013], 9/25/2007	
	141	Memorandum Opinion and Order Re: Prior Public Use [835], 8/16/2007	
•	142	Memorandum Opinion and Order Re: Defendant's Motion for Judgment as a Matter of Law on Indefiniteness [1141], 01/02/2008	
	143	Notification of Docket Entry Re: Defendants eSpeed's Motion for Judgment as a Matter of Law on Invalidity is denied [1140], 01/03/2008	
	144	Notification of Docket Entry Re: Defendant eSpeed's Motion for a New Trial is denied [1142], 01/03/2008	
	145	Memorandum Opinion and Order Re: Defendant's Motion for Judgment as a Matter of Law on Willfulness [1144], 01/03/2008	
	146	Deposition testimony of Hiroyuki Kida dated May 17, 2007 and May 18, 2007 with DDX 617-624, PDX 519-524 and PDX 531	
	147	Trial testimony of Hiroyuki Kida dated September 28, 2007 and October 1, 2007 with DTX 617	
A Section 1	148	Deposition testimony of Atsushi Kawashima dated November 21, 2005 with DDX 178-185	

Examiner Signature /Jeanne Clark/	Date Considered	09/26/2008
-----------------------------------	--------------------	------------

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.C./
Approved for use through 11/30/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitu	ite for form 1449/P	TO	* *************************************	Complete If Known		
OSOSAIL	100 101111 (1479))	10	(4)	Application Number	90/008,576	
INF	ORMATIC	ON DIS	CLOSURE	Filing Date	05-25-2007	
STA	ATEMEN'	T BY A	PPLICANT	First Named Inventor	6,772,132	
	##			Art Unit	3993	
(Use as many sheets as necessary)				Examiner Name	Jeanne Marie Clark	
Sheet	16	of	20	Attorney Docket Number	07-1021-US-REX-1	

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	$\overline{}$
Initials*	No.1	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
	149	Trial testimony of Atsushi Kawashima dated September 26, 2007 with DTX 183	
	150	Deposition testimony of Philip Carre dated 6/22/07, 9/6/07and 9/13/07with DDX 384-385; 473; 494; 527; 537-541; 592; 593A; 595-598; 605; 626; 719-723; 728-732; PDX 897-898; 896	
	151	Deposition testimony of Michael Cartier dated May 9, 2007 with DDX 587-588; DDX 592-593A and PDX 498-500	
	152	Deposition testimony of Cristina Dobson dated May 18, 2007 with DDX 625-635; DDX 637; PDX 533 and PDX 535	
	153	Deposition testimony of Nicholas Garrow dated June 14, 2007 with DDX 116 and DDX 592	
	154	Trial testimony of Nicholas Garrow (via expert witness) dated October 2, 2007	
	155	Deposition testimony of Michael Glista dated February 20, 2007 with DDX 382-386	
	156	Trial testimony of Michael Glista dated 9/24-25/07 with DTX 382-386; DTX 524; DTX 570; DTX 579; DTX 592; DTX 3020; DTX 3050; DTX 3057; DTX 3110; PTX 1993; 2065; 2092; 2094	
	157	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	
	158	Declaration of W. Buist, PX 365, DTX 1777, 04/26/06	

Examiner	/Jeanne Clark/	Date	
Signature	rocarine diany	Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (11-07)

Subetitu	ite for form 1449/	PTO			Complete If Known
Oupsuit	ne ioi ioini 144a/			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
				Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	eet 17 of 20		Attorney Docket Number	07-1021-US-REX-1	

Examiner	Cite	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Initials*	No.1	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
	159	Declaration of Walter Buist, Exhibit 17, 4/26/2007; with Faxed Signature Page	
	160	Letter from J. WALASKI to the EPO Re: Change of Address, 12/19/2006	
	161	A. KLEIN, WallStreet.com- Fat Cat Investing at the Click of a Mouse, Chapt. 14 "Finding Gold in Tribeca", 1998; Exhibit 16	
	162	Opposition EP 1 319 211 B1, Exhibit 1, Japanese Document (TSE), TSE647-980	
	163	Opposition TT, EP 1 319 211 B1, Copy set 1, Annex One- Grounds of Opposition, 1/19/2006	
	164	Deposition Transcript of Atsushi Kawashima, 11/21/2005, Opposition EP 1 319 211 B1 Exhibit 3	
	165	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	
	166	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	
	167	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	

			7 7-7
Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 11/30/2007. OMB 0551-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
a collection of information unless it contains a wall OMB.

Substitu	te for form 1449/P	770			Complete if Known
Gubsuk	10 10 10 11 1445/			Application Number	90/008,576
INF	ORMATIC	ON DIS	CLOSURE	Filing Date	05-25-2007
STA	STATEMENT BY APPLICANT			First Named Inventor	6,772,132
	**************************************	7 62 6151 - E25A		Art Unit	3993
	(Use as many sheets as necessary)			Examiner Name	Jeanne Marie Clark
Sheet	neet 18 of 20		Attorney Docket Number	07-1021-US-REX-1	

		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
	168	The Application Program Interface (API) Reference Manual for LIFFE Connect, 1/00/1999, release 3.3, EP 1 319 211 B1 Exhibit 7C, eS0059959-eS0060054	
	169	GL TRADE User Guide V4.51- LIFFE Connect for Futures, 6/00/1999, Opposition EP 1 319 211 B1 Exhibit 11	
	170	Memorandum Opinion and Order Re: Request for Preliminary Injunction [83], 2/9/2005, Opposition EP 1 319 211 B1 Exhibit 12	
	171	Fig.2 Substitute Sheet (Rule 26), Opposition EP 1 319 211 B1 Exhibit 13A	
	172	Provisional Application No. 60/186,322, Opposition EP 1 319 211 B1 Exhibit 13B	
	173	OM CLICK Trade User's Guide for Windows NT, 10/00/1998, Opposition EP 1 319 211 B1 Exhibit 14	
	174	Directory of Software Solutions for LIFFE Connect, 10/00/1998, Opposition EP 1 319 211 B1 Exhibit 8A	
	175	Directory of Software Solutions for LIFFE Connect, 2/00/1999, Opposition EP 1 319 211 B1 Exhibit 8B	
	176	Directory of Software Solutions for LIFFE Connect, 6/00/1999, Opposition EP 1 319 211 B1 Exhibit 8C	
	177	Japanese Document, TSE00647-981, DX 179, D1(1)	

Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique clistion designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

	NFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known		
Guoann	ate for form 14400 TO			Application Number	90/008,576
INF		Filing Date	05-25-2007		
STA		First Named Inventor	6,772,132		
		Art Unit	3993		
		iecessary)	Examiner Name	Jeanne Marie Clark	
Sheet	19	of	20	Attorney Docket Number	07-1021-US-REX-1

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Initials*	Cite No.1	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
	178	System for Buying and Selling Futures and Options Transaction Terminal Operational Guidlines, TSE Business Systems Dept, TSE00647-810, eS0622977-eS062366, D1(2)	
	179	Futures/Options Trading System Guidlines for Operating the Trading Terminals, TSE Business Systems Dept, TSE00628-643, eS062278-eS062293, D1(3)	
	180	Japanese Document, TSE00647-981, 12/1/2006 (E4), with Translation	1
	181	Japanese Document, TSE00609-627, 12/1/2006 (E5), with Translation	1
	182	"Next-Generation Futures Options Trading System", Participants Seminar Materials, TSE Publication 1 (Japanese), 9/00/1997, TSE609-TSE627, REFCO6679-6697	
	183	"Guidlines for Operating the Trading Terminals", TSE Publication 2 (Japanese), TSE628-643, REFCO6698-6713	
	184	"TSE 50th Anniversary Book of Materials", TSE Publication 3 (Japanese), 4/001989-3/00/1999, TSE644-646, REFCO6714-6719	

P-0-1			
Examiner Signature	/Jeanne Clark/	Date Considered	09/26/2008

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional).
2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08A (11-07)
Approved for use through 11/30/2007. OMB 0651-0031
U.S. Petent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1	449/PTO		Complete if Known		
			Application Number	90/008,576	
INFORM	TION D	SCLOSURE	Filing Date	05-25-2007	
	선거로 주시기 가게 그래요?		First Named Inventor	6,772,132	
		APPLICANT	Art Unit	3993	
(Use a	s many sheets a	s necessary)	Examiner Name	Jeanne Marie Clark	
Sheet 20	of	20	Attorney Docket Number	07-1021-US-REX-1	

Everylas -	Otto	D	U. S. PATENT D	Name of Batantas as	Bases Columns Unc. Wit
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		Number-Kind Code ^{2 (F inner)}			Figures Appear
	i i	US-	- Armania in		1.00
		US-			
2		US-			
		US-		12 No. 10 10 10 10 10 10 10 10 10 10 10 10 10	
	-	US-			
		US-			
	THE TOTAL	US-	80		
 		US-		4. · · · · · · · · · · · · · · · · · · ·	
		US-			T
		US-		· · · · · · · · · · · · · · · · · · ·	
		US-			(17 arcor).
		US-		***************************************	
		US-			

Initials*	Cite No.1	Foreign Patent Document	IGN PATENT DOCU Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	70
	A	Country Code ³ "Number ⁴ "Kind Code ⁵ (If known)	MM-DD-YYYY	MATERIAL CONTRACTOR	Or Relevant Figures Appear	
	185	WO 98/49639	4/29/1998	Lawrie, Rederick		
						L
						H
			mary State Sta			-20

Examiner Signature	/Jeanne Clark/		Date Considered	09/26/2008	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.