

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

IBG LLC, INTERACTIVE BROKERS LLC, TRADESTATION
GROUP, INC., and TRADESTATION SECURITIES, INC.
Petitioners

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.
Patent Owner

Case CBM2016-00032
Patent No. 7,212,999

PETITIONERS' UPDATED EXHIBIT LIST

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Petitioners submit this updated exhibit list to accompany submission of Petitioners' demonstrative exhibits for oral hearing as Exhibit 1055.

PETITIONERS' UPDATED EXHIBIT LIST

| Ex No. | Description |
|---------------|--|
| 1001 | U.S. Patent No. 7,212,999 to Friesen <i>et al.</i> |
| 1002 | File History of Application Ser. No. 09/289,550, which became the '999 patent, as filed and obtained from PAIR |
| 1003 | U.S. Patent No. 7,533,056 to Friesen <i>et al.</i> |
| 1004 | <i>TD Ameritrade Holding Corp. v. Trading Techs. Int'l, Inc.</i> , CBM2014-00131, Paper 17 |
| 1005 | <i>TD Ameritrade Holding Corp. v. Trading Techs. Int'l, Inc.</i> , CBM2014-00131, Paper 19 |
| 1006 | <i>TD Ameritrade Holding Corp. v. Trading Techs. Int'l, Inc.</i> , CBM2014-00131, Paper 24 |
| 1007 | <i>TD Ameritrade Holding Corp. v. Trading Techs. Int'l, Inc.</i> , CBM2014-00131, Paper 38 |
| 1008 | <i>IBG LLC v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, Paper 21 |
| 1009 | <i>Trading Techs. Int'l. v. CQG</i> , No. 05-cv-4811, Slip. Op. (N.D. Ill. Feb. 24, 2015) |
| 1010 | Transcript of the Deposition of Christopher Thomas, April 28, 2015 |
| 1011 | 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) |
| 1012 | Expert Declaration of Kendyl A. Román |
| 1013 | Curriculum Vitae of Kendyl A. Román |
| 1014 | List of Materials Considered by Kendyl A. Román |
| 1015 | "Futures/Option Purchasing System Trading Terminal Operation Guidelines," Tokyo Stock Exchange |
| 1016 | Certified Translation of "System for Buying and Selling Futures and Options Transaction Terminal Operational Guidelines" |

| Ex No. | Description |
|---------------|--|
| 1017 | Certificate of Translation for “System for Buying and Selling Futures and Options Transaction Terminal Operational Guidelines” |
| 1018 | 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 |
| 1019 | U.S. Patent No. 5,619,631 to Schott |
| 1020 | U.S. Patent No. 5,646,992 to Subler <i>et al.</i> |
| 1021 | U.S. Patent No. 5,689,651 to Lozman |
| 1022 | U.S. Patent No. 5,136,501 to Silverman <i>et al.</i> |
| 1023 | U.S. Patent No. 5,297,031 to Gutterman <i>et al.</i> |
| 1024 | WO 90/11571 to Belden |
| 1025 | Mark J. Powers, “Starting Out in Futures Trading,” Sixth Edition, 2001 |
| 1026 | History of the American and NASDAQ Stock Exchanges |
| 1027 | David M. Weiss, “After the Trade is Made,” 1993 |
| 1028 | Sunny J. Harris, “Trading 101 – How to Trade Like a Pro,” 1996 |
| 1029 | Alan Cooper, “About Face: The Essentials of User Interface Design,” First Edition, 1995. |
| 1030 | Ben Shneiderman, “Designing the User Interface: Strategies for Effective Human-Computer Interaction,” Third Edition, 1998 |
| 1031 | Edward R. Tufte, “The Visual Display of Quantitative Information,” 1983 |
| 1032 | Edward R. Tufte, “Envisioning Information,” Third Edition, December 1992 |
| 1033 | Richard W. Arms Jr., “Profits in Volume - Equivolume Charting,” 1975 |
| 1034 | Vernon L. Smith, “An Experimental Study of Competitive Market Behavior,” <i>The Journal of Political Economy</i> , Vol. LXX, No. 2, April 1962 |

| Ex No. | Description |
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| 1035 | Inside Macintosh, Promotional Edition, Apple Computer, Inc., 1985 |
| 1036 | Valerie Illingworth, and I. C. Pyle, Dictionary of Computing, 4th Ed, Oxford University Press, 1996 |
| 1037 | U.S. Patent No. 1,760,287 to Schippers |
| 1038 | Valerie Quercia et al., "X Window System User's Guide," OSF/Motif 1.2 Edition, The Definitive Guides to the X Window System, Vol. 3, August 1993 |
| 1039 | U.S. Patent No. 5,454,104 to Steidlmeyer |
| 1040 | WO 97/06492 to Jackson |
| 1041 | <i>TradeStation Gr'p, Inc. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00161, Paper 29 |
| 1042 Served | Declaration of Robert E. Sokohl |
| 1043 Served | Declaration of Aaron M. Cohen |
| 1044 Served | June 17, 2016 Deposition Transcript of Atushi Kawashima |
| 1045 | Transcript of the Deposition of Christopher Thomas, January 27, 2017 |
| 1046 | Transcript of the Deposition of Dan R. Olsen, Jr., July 28, 2016 |
| 1047 | Transcript of the Deposition of Christopher Thomas, August 17, 2016 |
| 1048 | Merriam-Webster Collegiate Dictionary (11th ed.) |
| 1049 | Webster's New World College Dictionary (4th ed.) |
| 1050 | U.S. Patent No. 6,408,282 to Buist |
| 1051 | New York Times, "Futures/Options; Automation in Trading," December 10, 1984 |
| 1052 | Intex Trading Screen |
| 1053 | New York Stock Exchange Annual Report 1983 |
| 1054 | Robert G. McCausland April 7, 2005 Deposition Transcript [SERVED NOT FILED] |

| Ex No. | Description |
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| 1055 | Petitioners' Demonstratives for Oral Hearing |

Date: May 1, 2017

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