

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 024051/0155

*Hg
or
3/21/03*

Applicant: Gery Allan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
Serial No.: 09/884,637
Filed: June 27, 2001
Examiner: R. Welsberger
Art Unit: 3624

**REQUEST FOR CONTINUED EXAMINATION (RCE)
TRANSMITTAL**

Commissioner for Patents
Box RCE
Washington, D.C. 20231

Sir:

This is a Request for Continued Examination (RCE) under 37 C.F.R. § 1.114 of the above-identified application. This RCE and the enclosed items listed below are being filed prior to the earliest of: (1) payment of the issue fee (unless a petition under 37 C.F.R. § 1.313 is granted); (2) abandonment of the application; or (3) the filing of a notice of appeal to the U.S. Court of Appeals for the Federal Circuit under 35 U.S.C. §141, or the commencement of a civil action under 35 U.S.C. §146 or §146 (unless the appeal or civil action is terminated).

1. Submission required under 37 C.F.R. §1.114: (check items that apply)

- a. Previously submitted:
 - Please enter and consider the amendment/reply previously filed on _____
 - Please consider the Affidavit(s)/Declaration(s) previously filed on _____ but not considered.
 - Please consider the arguments in the Appeal Brief or Reply Brief under 37 C.F.R. § 1.118 previously filed on _____.
 - Other: Information Disclosure Statements previously filed on November 14, 2002; December 18, 2002; and February 11, 2003.
- b. Enclosed are:
 - Amendment/Reply.
 - Affidavit(s)/Declaration(s).
 - Information Disclosure Statement.
 - Form PTO-1449 with copies of _____ listed reference(s).
 - Remarks Accompanying RCE.

Miscellaneous:

- Suspension of action of the above-identified application is requested under 37 C.F.R. § 1.103(c) for a period of ___ months.

The filing fee is calculated below:

	Claims Amended	Previously Paid For	Extra Claims Present	Rate	Fee Totals
RCE Fee 1.17(e)				\$750.00	\$750.00
Total Claims:	28	28	0	x \$18.00	= \$0.00
Independents:	2	3	0	x \$84.00	= \$0.00
First presentation of any Multiple Dependent Claims:				+ \$280.00	= \$0.00
				CLAIMS FEE TOTAL:	= \$750.00

- Applicant hereby petitions for an extension of time under 37 C.F.R. §1.136(a) for the total number of months checked below:

<input type="checkbox"/> Extension for response filed within the first month:	\$110.00	\$0.00
<input type="checkbox"/> Extension for response filed within the second month:	\$410.00	\$0.00
<input type="checkbox"/> Extension for response filed within the third month:	\$830.00	\$0.00
<input type="checkbox"/> Extension for response filed within the fourth month:	\$1,450.00	\$0.00
<input type="checkbox"/> Extension for response filed within the fifth month:	\$1,870.00	\$0.00
	EXTENSION FEE TOTAL:	\$0.00
	CLAIMS AND EXTENSION FEE TOTAL:	\$750.00
<input checked="" type="checkbox"/> Small Entity Fees Apply (subtract 1/2 of above):		\$375.00
<input type="checkbox"/> Suspension of action requested under 37 C.F.R. § 1.103(e)		\$0.00
	TOTAL FEE:	\$375.00

- A check in the amount of \$375.00 to cover the filing fee is enclosed.
- The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Please direct all correspondence to the undersigned attorney or agent at the address indicated below.

Respectfully submitted,

MARCH 10, 2003
Date

Ankur D. Shah
Registration No. 41,514

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5109
Telephone: (202) 672-6300
Facsimile: (202) 672-6399

002.979341.1

Received from <312.476.1182> at 3/19/03 12:22:51 PM [Eastern Standard Time]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 024051/0155

Applicant: Gary Allan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF
MARKET DEPTH
Serial No.: 09/894,637
Filed: June 27, 2001
Examiner: R. Welsberger
Art Unit: 3624

REMARKS ACCOMPANYING REQUEST FOR CONTINUED EXAMINATION

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant has filed concurrently herewith a Request for Continued Examination (RCE) in the subject application. Examiner Welsberger has recently indicated via telephone that prosecution in the application has been closed and that a notice of allowability has been entered. Applicant's review of data from the USPTO PAIR on-line database confirms that a notice of allowability was entered on September 30, 2002.

Believing prosecution in the present case to be closed, Applicant now submits the present RCE, per the Examiner's request, in order to ensure full consideration of the references cited in the Information Disclosure Statements previously filed on November 14, 2002, December 18, 2002 and February 11, 2003.

Mar 19 2003 12:28PM Trading Technologies, Inc 312-476-1182 p. 7

Received from <312 476 1182> at 3/19/03 12:22:51 PM [Eastern Standard Time]

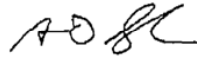
Serial No. 09/894,637

Attorney Docket No. 024051/0155

Respectfully submitted,

MARCH 10, 2003

Date



Ankur D. Shah
Registration No. 41,614

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002 976352.1

2

Mar 19 2003 12:29PM Trading Technologies, Inc 312-476-1182 p.8

Notice of Allowability	Application No.	Applicant(s)	
	09/894,637	KEMP ET AL	
	Examiner	Art Unit	
	Richard C Weisberger	3624	<i>RMJ</i>

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

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. This communication is responsive to amendment, terminal disclaimer, interview summary.
2. The allowed claim(s) is/are 41-54 and 56-81.
3. The drawings filed on 09/01 are accepted by the Examiner.
4. Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 - a) All b) Some* c) None of the:
 1. Certified copies of the priority documents have been received.
 2. Certified copies of the priority documents have been received in Application No. _____.
 3. Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.
5. Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
 - (a) The translation of the foreign language provisional application has been received.
6. Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

7. A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
8. CORRECTED DRAWINGS must be submitted.
 - (a) including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
 - 1) hereto or 2) to Paper No. _____.
 - (b) including changes required by the proposed drawing correction filed _____, which has been approved by the Examiner.
 - (c) including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No. _____.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the top margin (not the back) of each sheet. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.
9. DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1 <input type="checkbox"/> Notice of References Cited (PTO-892)	2 <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)
3 <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)	4 <input type="checkbox"/> Interview Summary (PTO-413), Paper No. _____
5 <input checked="" type="checkbox"/> Information Disclosure Statements (PTO-1449), Paper No. _____	6 <input type="checkbox"/> Examiner's Amendment/Comment
7 <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit of Biological Material	8 <input type="checkbox"/> Examiner's Statement of Reasons for Allowance
	9 <input type="checkbox"/> Other

10

Allowable Subject Matter

1. The following is an examiner's statement of reasons for allowance: The following is an examiner's statement of reasons for allowance: This statement of reasons for allowance includes the major differences in the claims not found in the prior art of record and reasons why that differences are considered to define patentably over the prior art. The statement is not intended to necessarily state all the reasons for allowance or all the details why claims are allowed and should not be relied upon for this purpose. Rather, this statement reflects what the examiner considers important and therefore the primary reasons for the allowance of the claims.

The primary reason for allowance is the limitation directed to the "dynamic display" of a plurality of the quantity of bids and asks aligned with a "static display" of corresponding prices. Here, unlike the prior art, the "static" display of prices is just that, static, and does not move in response to a change in the inside market. With this display of market depth, claimed in each of the independent claims, a trader places a trade order with the pointer in the area of the order entry region of the dynamic market depth region, through a single computer implemented action, see Figures 3 and 4. For example, in figure 3, a click on Bid Q 18 will send an order to the market to sell 17 lots of the commodity at a price of 89.

The closest prior art including US Patent 6,408,282, PCT WO 01/16852 and commonly owned non-patent literature "X Trader" (see, applicant's response to USPTO's request for information) all lack this feature. The PTO also inquired as to the subject matter of alleged infringement referenced in applicant's petition to make special

Application/Control Number: 09/894,637
Art Unit: 3624

Page 3

in related case SN 09/590,692. The USPTO found no evidence of public use or any printed publication of the system known as J Trader, the subject matter of potential infringement and the applicant's basis for his petition to make special, earlier than November 6, 2000. Therefore, the USPTO has concluded that the system known as J trader is not prior art to the instant application, which has a filing date of June 06, 2000.

2. Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Respectfully

By, _____
Richard Weisberger

C

Application/Control Number: 09/894,637
Art Unit: 3624

Page 4

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Art Unit: 3624

Page 2 / C

The application has been amended as follows:

To the beginning of the specification, add;

C'
JRH
6-23-04
This application is a divisional application of serial number 09/590,692 filed
06/09/2000 which claims benefit of 60/186,322, filed *March 2, 2000.*

Any inquiry concerning this communication or earlier communications from the
examiner should be directed to Richard C Weisberger whose telephone number is 703
308 4408.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's
supervisor, Vince Millin can be reached on 703 308 1065. The fax phone number for
the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the
Patent Application Information Retrieval (PAIR) system. Status information for
published applications may be obtained from either Private PAIR or Public PAIR.
Status information for unpublished applications is available through Private PAIR only.
For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should
you have questions on access to the Private PAIR system, contact the Electronic
Business Center (EBC) at 866-217-9197 (toll-free).

[Signature]
Richard C Weisberger
Primary Examiner
Art Unit 3624

Notice of References Cited	Application/Control No. 09/894,637	Applicant(s)/Patent Under Reexamination KEMP ET AL.	
	Examiner Richard C. Weisberger	Art Unit 3624	Page 1 of 1

U.S. PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
A	US-			
B	US-			
C	US-			
D	US-			
E	US-			
F	US-			
G	US-			
H	US-			
I	US-			
J	US-			
K	US-			
L	US-			
M	US-			

FOREIGN PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
N					
O					
P					
Q					
R					
S					
T					

NON-PATENT DOCUMENTS

*	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
U	Patsystems News Release, Patsystems Launches J Trader, November 06, 2001.
V	
W	
X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

Interview Summary	Application N.	Applicant(s)	
	09/894,637	KEMP ET AL.	
	Examiner	Art Unit	
	Richard C Weisberger	3624	

All participants (applicant, applicant's representative, PTO personnel):

- (1) Richard C Weisberger. (3) _____
 (2) Steve Borsand. (4) _____

Date of Interview: 01 September 2003.

Type: a) Telephonic b) Video Conference
 c) Personal [copy given to: 1) applicant 2) applicant's representative]

Exhibit shown or demonstration conducted: d) Yes e) No.
 If Yes, brief description: _____.

Claim(s) discussed: _____.

Identification of prior art discussed: _____.

Agreement with respect to the claims f) was reached. g) was not reached. h) N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: The PTO inquired as to the identity of the infringing system referenced in the petition to make special of related case # 09/509,692. The applicant identified the product to be "J- Trader".

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

 Examiner's signature, if required

Summary of Record of Interview Requirements

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.



UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 450
Alexandria, Virginia 22313-1450
www.uspto.gov

NOTICE OF ALLOWANCE AND FEE(S) DUE

7590 02/10/2004
Robert C. Klinger
Jackson Walker L.L.P.
Suite 600
2435 North Central Expressway
Richardson, TX 75080

EXAMINER

WEISBERGER, RICHARD C

ART UNIT PAPER NUMBER

3624

DATE MAILED: 02/10/2004

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/894,637	06/27/2001	Gary Allan Kemp II	024051-0155	1527

TITLE OF INVENTION: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1330	\$300	\$1630	05/10/2004

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE REFLECTS A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE APPLIED IN THIS APPLICATION. THE PTOL-85B (OR AN EQUIVALENT) MUST BE RETURNED WITHIN THIS PERIOD EVEN IF NO FEE IS DUE OR THE APPLICATION WILL BE REGARDED AS ABANDONED.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status is changed, pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above and notify the United States Patent and Trademark Office of the change in status, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check the box below and enclose the PUBLICATION FEE and 1/2 the ISSUE FEE shown above.

Applicant claims SMALL ENTITY status. See 37 CFR 1.27.

II. PART B - FEE(S) TRANSMITTAL should be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). Even if the fee(s) have already been paid, Part B - Fee(s) Transmittal should be completed and returned. If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL.

Complete and send this form, together with applicable fee(s), to: **Mail** **Mail Stop ISSUE FEE**
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
 or **Fax** **(703) 746-4000**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

7590 02/10/2004
 Robert C. Klinger
 Jackson Walker L.L.P.
 Suite 600
 2435 North Central Expressway
 Richardson, TX 75080

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission
 I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/894,637	06/27/2001	Gary Allan Kemp II	024051-0135	1527

TITLE OF INVENTION: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1330	\$300	\$1630	05/10/2004

EXAMINER	ART UNIT	CLASS-SUBCLASS
WEISBERGER, RICHARD C	3624	705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).
 Change of correspondence address (or Charge of Correspondence Address form PTO/SB/122) attached.
 "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. _____
 2. _____
 3. _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)
 PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.
 (A) NAME OF ASSIGNEE _____ (B) RESIDENCE: (CITY and STATE OR COUNTRY) _____

Please check the appropriate assignee category or categories (will not be printed on the patent): individual corporation or other private group entity government

4a. The following fee(s) are enclosed:
 Issue Fee
 Publication Fee
 Advance Order - # of Copies _____

4b. Payment of Fee(s):
 A check in the amount of the fee(s) is enclosed.
 Payment by credit card. Form PTO-2038 is attached.
 The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

Director for Patents is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

(Authorized Signature) _____ (Date) _____

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant, a registered attorney or agent, or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

This collection of information is required by 37 CFR 1.311. 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 12 minutes 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, U.S. Department of Commerce, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, Virginia 22313-1450.

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UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/894,637	06/27/2001	Gary Allan Kemp II	024051-0155	1527

7590 02/10/2004
 Robert C. Klinger
 Jackson Walker L.L.P.
 Suite 600
 2435 North Central Expressway
 Richardson, TX 75080

EXAMINER

WEISBERGER, RICHARD C

ART UNIT PAPER NUMBER

3624

DATE MAILED: 02/10/2004

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)
(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 532 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 532 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) system (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (703) 305-1383. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (703) 305-8283.



#11
9-29-03 CW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 024051/0155

Applicant: Gary Allan KEMP II et al.
 Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
 Serial No.: 09/894,637
 Filed: June 27, 2001
 Examiner: R. Weisberger
 Art Unit: 3624

RECEIVED
SEP 24 2002
GROUP 3600

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants submit herewith on Form PTO/SB/08 a listing of the documents cited by or submitted to the U.S. PTO in parent application Serial No. 09/590,692, filed 06/09/2000. As provided in 37 CFR §1.98(d), copies of the documents are not being provided since they were previously submitted to the United States Patent & Trademark Office in the above-identified parent application.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

Serial No. 09/894,637

Attorney Docket No. 024051/0155

TIMING OF THE DISCLOSURE

The instant Information Disclosure Statement is believed to be filed in accordance with 37 C.F.R. 1.97(b), prior to the mailing date of a first Office Action on the merits.

RELEVANCE OF EACH DOCUMENT

The relevance of the listed documents is described in the parent application.

Applicant respectfully requests that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO SB/08 be returned in accordance with MPEP §609.

Respectfully submitted,

SEPTEMBER 20, 2002

Date

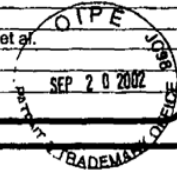
ADK

Ankur D. Shah
Registration No. 41,514

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5109
Telephone: (202) 672-5300
Facsimile: (202) 672-5399

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: September 20, 2002 (use as many sheets as necessary)		Complete if Known Application Number: 09/894,637 Filing Date: June 27, 2001 First Named Inventor: Gary Allan Kemp II et al. Group Art Unit: 3624 Examiner Name: R. Weisberger Attorney Docket Number: 024051/0155	
Sheet	1	of	1



U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code* (if known)			
	A1	5,038,284		KRAMER	08/06/1991	
	A2	5,297,031		GUTTERMAN et al.	03/22/1994	
	A3	5,889,651		LOZMAN	11/18/1997	
	A4	5,774,877		PATTERSON, JR. et al.	06/30/1998	
	A5	5,793,301		PATTERSON, JR. et al.	08/11/1998	
	A6	5,797,002		PATTERSON, JR. et al.	08/18/1998	
	A7	5,845,268		LUPIEN et al.	12/01/1998	
	A8	5,915,245		PATTERSON, JR. et al.	06/22/1999	
	A9	5,924,082		SILVERMAN et al.	07/13/1999	
	A10	6,012,046		LUPIEN et al.	01/04/2000	
	A11	6,014,643		MINTON	01/11/2000	
	A12	6,098,051		LUPIEN et al.	08/01/2000	
	A13	6,131,087		LUKE et al.	10/10/2000	
	A14	6,134,535		BELZBERG	10/17/2000	
	A15	6,195,647		MARTYN et al.	02/27/2001	
	A16	6,272,474		GARCIA	08/07/2001	
	A17	6,278,982		KORHAMMER et al.	08/21/2001	
	A18	6,282,521		HOWORKA	08/28/2001	

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FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ²
		Office*	Number*				
	A19	WO	99/30259	NIPPON STEEL CORPORATION	06/17/1999		

OTHER PRIOR ART - 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
	A20	USPTO Presentation, NASDAQ, November 8, 2001, enclosed pages 1-13.	

Examiner Signature		Date Considered	7/18
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*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 Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.



#12
9-2903CW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 024051/0155

Applicant: Gary Allan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
Serial No.: 09/894,637
Filed: June 27, 2001
Examiner: R. Weisberger
Art Unit: 3624

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GROUP 3600

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR 1.97 and 1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie prior art reference against the claims of the present application.

Serial No. 09/894,637

Attorney Docket No. 024051/0155

TIMING OF THE DISCLOSURE

The instant Information Disclosure Statement is believed to be filed in accordance with 37 C.F.R. 1.97(b), prior to the mailing date of a first Office Action on the merits.

RELEVANCE OF EACH DOCUMENT

Documents A1-A6 were listed in a Search Report for a counterpart British application. A copy of the Search Report is also being provided herewith.

Applicant respectfully requests that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO SB/08 be returned in accordance with MPEP §609.

Respectfully submitted,

FEBRUARY 13, 2003

Date



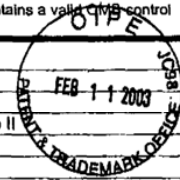
Ankur D. Shah
Registration No. 41,514

FOLEY & LARDNER
Washington Harbour
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Washington, D.C. 20007-5109
Telephone: (202) 672-5300
Facsimile: (202) 672-5399

Should additional fees be necessary in connection with the filing of this paper, or if a petition for extension of time is required for timely acceptance of same, the Commissioner is hereby authorized to charge Deposit Account No. 19-0741 for any such fees; and applicant(s) hereby petition for any needed extension of time.

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Substitute for form 1449B/PTO		<i>Complete If Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: (TO BE INSERTED) (use as many sheets as necessary)		Application Number	09/894,637
		Filing Date	June 27, 2001
Sheet 1 of 1		First Named Inventor	Gary Allan Kemp II
		Group Art Unit	3624
		Examiner Name	Weisberger, R.
		Attorney Docket Number	024051-0155



U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	5,297,032		TROJAN et al.	03/22/1994	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁸
		Office ³	Number ⁴				
	A2		WO 00/65510	PCT	11/02/2000		
	A3		WO 01/16830	PCT	03/08/2001		
	A4		WO 01/16852	PCT	03/08/2001		
	A5		WO 01/22315	PCT	03/29/2001		
	A6		WO 01/88608	PCT	11/22/2001		

OTHER PRIOR ART - 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 ⁸

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Examiner Signature		Date Considered	3/04
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. ⁸ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.



INVESTOR IN PEOPLE

Application No: GB 0219306.8
Claims searched: New Claims 1-31

Examiner: Graham Russell
Date of search: 27 November 2002

**Patents Act 1977
Search Report under Section 17**

Databases searched:

UK Patent Office collections, including GB, EP, WO & US patent specifications, in:

UK Cl (Ed.T):

Int Cl (Ed.7): G06F 17/60

Other: Online: EPODOC, Full text patent databases, JAPIO, WPI

Documents considered to be relevant:

Category	Identity of document and relevant passage	Relevant to claims
A	WO 01/88808 A1 (NASDAQ) see page 15 line 8 <i>et seq</i>	
A	WO 01/22315 A2 (NASDAQ) see abstract	
A	WO 01/16852 A2 (EPIT) see page 27 lines 24-31	
A	WO 01/16830 A1 (BLOOMBERG) see page 39 line 28	
A	WO 00/65510 A1 (TRADING TECHNOLOGIES) see abstract & Fig 19	
A	US 5297032 (MERRILL LYNCH) see column 4 lines 25-42, Table 1 columns 7-8, column 6 line 55 - column 8 line 68	

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X	Document indicating lack of novelty or inventive step	A	Document indicating technological background and/or state of the art.
Y	Document indicating lack of inventive step if combined with one or more other documents of same category.	P	Document published on or after the declared priority date but before the filing date of this invention.
&	Member of the same patent family	B	Patent document published on or after, but with priority date earlier than, the filing date of this application.

An Executive Agency of the Department of Trade and Industry



#13

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 024051/0155

Applicant: Gary Allan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
Serial No.: 09/894,637
Filed: June 27, 2001
Examiner: R. Weisberger
Art Unit: 3624

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DEC 19 2002
GROUP 3600

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR 1.97 and 1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie prior art reference against the claims of the present application.

Serial No. 09/894,637

Attorney Docket No. 024051/0155


TIMING OF THE DISCLOSURE

The instant Information Disclosure Statement is believed to be filed in accordance with 37 C.F.R. 1.97(b), prior to the mailing date of a first Office Action on the merits.

Applicant respectfully requests that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO SB/08 be returned in accordance with MPEP §609.

Respectfully submitted,

DECEMBER 18, 2002
Date


Ankur D. Shah
Registration No. 41,514

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5109
Telephone: (202) 672-5300
Facsimile: (202) 672-5399

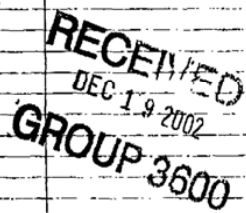
Should additional fees be necessary in connection with the filing of this paper, or if a petition for extension of time is required for timely acceptance of same, the Commissioner is hereby authorized to charge Deposit Account No. 19-0741 for any such fees; and applicant(s) hereby petition for any needed extension of time.

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Substitute for form 1449B/PTO		<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	09/894,637
Date Submitted: December 18, 2002		Filing Date	June 27, 2001
(use as many sheets as necessary)		First Named Inventor	Gary Allan Kemp II
Sheet	1	Group Art Unit	3624
of	1	Examiner Name	Weisberger, R.
		Attorney Docket Number	024051-0155



U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	2002/0055899		WILLIAMS	05/09/2002	



FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁸
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

OTHER PRIOR ART - 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 ⁹

Examiner Signature		Date Considered	
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*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 Unique citation designation number. 2 See attached Kinds of U.S. Patent Documents. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 8 Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.



Handwritten signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 024051/0155

Applicant: Gary Allan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
Serial No.: 09/894,637
Filed: June 27, 2001
Examiner: R. Weisberger
Art Unit: 3624

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GROUP 3600

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR 1.97 and 1.98.

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Serial No. 09/894,637

Attorney Docket No. 024051/0155

TIMING OF THE DISCLOSURE

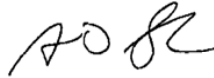
The instant Information Disclosure Statement is believed to be filed in accordance with 37 C.F.R. 1.97(b), prior to the mailing date of a first Office Action on the merits.

Applicant respectfully requests that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO SB/08 be returned in accordance with MPEP §609.

Respectfully submitted,

NOVEMBER 14, 2002

Date



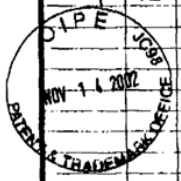
Ankur D. Shah
Registration No. 41,514

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5109
Telephone: (202) 672-5300
Facsimile: (202) 672-5399

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Substitute for form 1449B/PTO		<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	09/894,637
Date Submitted: November 14, 2002		Filing Date	June 27, 2001
<i>(use as many sheets as necessary)</i>		First Named Inventor	Gary Allan Kemp II
Sheet	1	Group Art Unit	3624
	of 1	Examiner Name	Welsberger, R.
		Attorney Docket Number	024051-0155

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
A1	A1	2002/0023038		FRITSCH et al.	02/21/2002	
	A2	6,408,282		BUIST	06/18/2002	



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NOV 15 2002
GROUP 3600

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴				
A3	A3		WO 00/52619	PCT	09/08/2000		
	A4		WO 00/62187	PCT	10/19/2000		
	A5		WO 01/16852	PCT	03/08/2001		

OTHER PRIOR ART - 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 ⁶

Examiner Signature	<i>[Signature]</i>	Date Considered	<i>1/10</i>
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*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 Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

dt/s

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Alan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
Appl. No.: 09/894,637
Filing Date: 06/27/2001
Examiner: R. Weisberger
Art Unit: 3624

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COMM. FOR PAT. & TRADEMARKS
WASHINGTON, DC 20503

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b).

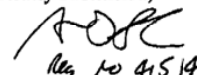
RELEVANCE OF EACH DOCUMENT

The listed documents were cited by a patent examiner during the prosecution of a corresponding foreign patent application.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,



Date: November 12, 2003

By _____

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143
Telephone: (202) 672-5485
Facsimile: (202) 672-5399

William T. Ellis
Attorney for Applicant
Registration No. 26,874

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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	09/894,637
		Filing Date	June 27, 2001
Date Submitted: November 12, 2003		First Named Inventor	Gary Allan Kamp II
(use as many sheets as necessary)		Group Art Unit	3624
		Examiner Name	Weisberger, R.
Sheet	1	of	1
		Attorney Docket Number	024051-0155

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴				
	A1	PCT	WO 98/49639		11/05/1998		
	A2	PCT	WO 99/19821		04/22/1999		
	A3	PCT	WO 99/53424		10/21/1999		

OTHER PRIOR ART - 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 ⁶

Examiner Signature		Date Considered	11/14
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*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 Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.



#15 1/2

Atty. Dkt. No. 024051-0155

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Alan KEMP II et al.
 Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
 Appl. No.: 09/894,637
 Filing Date: 06/27/2000
 Examiner: R. Weisberger
 Art Unit: 3624
 Confirmation No.: 1527

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 GROUP 3600

APPLICANT'S STATEMENT ON SUBSTANCE OF INTERVIEW

Commissioner for Patents
 PO Box 1450
 Alexandria, Virginia 22313-1450

Sir:

Having reviewed the Interview Summary mailed on February 10, 2004 in the above-captioned application file, based on the telephonic Interview conducted on September 1, 2003, Applicant makes the following clarifying remarks. Applicant agrees with the substance of the Interview Summary as described by the Examiner. Applicant further points out for clarification that the product identified by Applicant that was referenced in the petition to make special in 09/590,692 was the "DOME" screen of the J-Trader product.

Respectfully submitted,

By WTE
 Reg No 41514

Date: March 5, 2004

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 Customer Number: 22428
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 Facsimile: (202) 672-5399

William T. Ellis
 Attorney for Applicant
 Registration No. 26,874

Feb 17 2004 6:23PM Trading Technologies 24781168
02/17/2004 01:12 FAX 827462908 JACKSON WALKER LLP @063



PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **MAIL** Mail Stop **ISSUE FEE**
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P.O. Box 1458
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22428
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ROBERT C. KLINGER
Jackson-Walker LLP
Suite 400 - SW
2455 North Central Expressway
Richardson, TX 75080
FOLEY AND LARDNER
3000 K St. NW
WASHINGTON, DC 20007

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see change dated 7/1/01

APPLICATION NO.	FILED DATE	RIGHT NAMED BY INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
0994637	04/17/2001	Greg Allen Kemp III	024051-0155	1537

TITLE OF INVENTION: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTHS

APPLX TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO/YES	\$1300	\$370	\$1670	03/10/2004
EXAMINER		ART UNIT	CLASS-CLASS		
WEINBERGER, RICHARD C		3654	703-027400		

1. Change of correspondence address or indication of "Fee Address" (17 CFR 1.531)
 Change of correspondence address (i.e. Change of Correspondence Address from PTO/USPTO) attached.
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2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm serving as a registered attorney or agent and the names of up to 2 registered patent attorneys or agents. If no name is listed, it shall not be printed.

3. ASSIGNOR NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)
PLEASE NOTE: Unless an assignor is identified below, no assignor data will appear on the patent. Inclusion of assignor data is only appropriate when an assignor has been previously established in the USPTO or is being established under separate cover. Completion of this form is NOT a substitute for filing an assignment.
(A) NAME OF ASSIGNOR
Trading Technologies International, Inc. Chicago, IL
(B) RESIDENCE (CITY AND STATE OR COUNTRY)

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 Issue Fee
 Publication Fee
 Advance Order - \$ of Copies
5. Payment of Fee(s)
 A check in the amount of the fee(s) is enclosed.
 Payment by credit card. Form PTO-2028 is attached.
 The Director is hereby authorized to charge the required fee(s), or credit any overpayment, to the account number 1-01-017-01.

6. Discover the Patent is required to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

(Authorized Signatures)
William T. Ellis, Reg. #26,874 3/8/04
41514 (Date) 3/8/04

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The submission of information is required by 37 CFR 1.511. The information is required to obtain a benefit by the public which is in the best interest of the USPTO to protect an application. Confidentiality is governed by 37 U.S.C. 135 and 37 CFR 1.14. This information is submitted in the USPTO to provide, including applications, proposals, and submitting the completed application form to the USPTO. There will be a copy of the information submitted to the USPTO. Any comments on the content of this form may be made by the applicant and the applicant's representative for relating this matter should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Alexandria, Virginia 22314-4350. DO NOT SEND THIS INFORMATION TO THE ADDRESS: SEND TO: Commissioner for Patents, Alexandria, Virginia 22311-1410.

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Application No. <u>09/894 637</u>	Prepared by <u>NPB</u>	Tracking Number <u>05904954</u>	
Examiner-GAU <u>Walsberger</u>	Date <u>3/29/04</u>	Week Date <u>2/23/04</u>	
<u>3024</u>	No. of queries <u>3</u>	<u>PUTY</u>	

JACKET			
a. Serial No.	f. Foreign Priority	k. Print Claim(s)	<u>d. PTO-1449</u>
b. Applicant(s)	g. Disclaimer	l. Print Fig.	q. PTOL-85b
<u>c. Continuing Data</u>	h. Microfiche Appendix	m. Searched Column	r. Abstract
d. PCT	i. Title	n. PTO-270/328	s. Sheets/Figs
e. Domestic Priority	j. Claims Allowed	o. PTO-892	t. Other

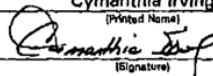
SPECIFICATION	MESSAGE
a. Page Missing	<p>① <u>ppv-1449 (4 pages): Please either initials or line through citations.</u></p> <p>② <u>Continuing data is listed on the palm/1/b sheet, but not in specification/text.</u></p> <p>③ <u>Please verify if the Amendment dated 3/21/03 be entered? see yellow tag (not lined-off/not listed in contents panel).</u></p> <p><u>amendment</u> please verify.</p> <p>RECEIVED</p> <p>APR 01 2004</p> <p>13</p> <p>Initials <u>Jhm/kye</u></p>
b. Text Continuity	
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e. Illegible Text	
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g. Brief Description	
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<u>j. Amendments</u>	
k. Other	
CLAIMS	RESPONSE
a. Claim(s) Missing	<p><u>Corrected</u></p> <p>Initials <u>SA</u></p>
b. Improper Dependency	
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Atty. Dkt. No. 024051-0155

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Alan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH
Appl. No.: 09/894,637
Filing Date: 06/27/2001
Examiner: R. Weisberger
Art Unit: 3624

CERTIFICATE OF FACSIMILE TRANSMISSION	
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Cymanthia Irving	(Printed Name)
	(Signature)
March 21, 2003	(Date of Deposit)

AMENDMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Please amend the application as follows:

In the Claims:

In accordance with 37 CFR § 1.121, please substitute for claims 41-44, 48-50, 52-54, 56, 61, 62, and 68, the following rewritten versions of the same claims, as amended. The changes are shown explicitly in the attached "Marked Up Version Showing Changes Made."

Further, please cancel claim 55 without prejudice or disclaimer, and add new claims 69-81 as set forth below.

D'

1. (Amended) A method for displaying market information relating to and facilitating trading of a commodity being traded in an electronic exchange having an inside market with a highest bid price and a lowest ask price on a graphical user interface, the method comprising:

dynamically displaying a first indicator in one of a plurality of locations in a bid display region, each location in the bid display region corresponding to a price level along a common static price axis, the first indicator representing quantity associated

1)

Atty. Dkt. No. 024051-0155

with at least one order to buy the commodity at the highest bid price currently available in the market;

dynamically displaying a second indicator in one of a plurality of locations in an ask display region, each location in the ask display region corresponding to a price level along the common static price axis, the second indicator representing quantity associated with at least one order to sell the commodity at the lowest ask price currently available in the market;

displaying the bid and ask display regions in relation to fixed price levels positioned along the common static price axis such that when the inside market changes, the price levels along the common static price axis do not move and at least one of the first and second indicators moves in the bid or ask display regions relative to the common static price axis;

displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the common static price axis; and

in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

D1

~~2~~¹ (Amended) The method of claim ~~41~~¹ wherein the bid and ask display regions and the order entry region comprise columns with a plurality of cells that are displayed as a grid such that the cells of each column are aligned.

~~3~~¹ (Amended) The method of claim ~~41~~¹ wherein the bid and ask display regions and the order entry region are oriented vertically.

~~4~~¹ (Amended) The method of claim ~~41~~¹ wherein the bid and ask display regions and the order entry region are oriented horizontally.

~~8~~² (Amended) The method of claim ~~47~~² wherein the bid display region, the ask display region, the order entry region and the price display region comprise columns with a plurality of cells that are displayed as a grid such that the cells of each column are aligned.

D2

(D)

Atty. Dkt. No. 024051-0155

48. (Amended) The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region are oriented vertically.

49. (Amended) The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region are oriented horizontally.

50. (Amended) The method of claim 51 wherein a location of the plurality of locations of the bid display region comprises a blank region in which there is no first or third indicator displayed.

D2

51. (Amended) The method of claim 41 wherein a location of the plurality of locations of the ask display region comprises a blank region in which there is no second or fourth indicator displayed.

52. (Amended) The method of claim 41 wherein the order entry region comprises:
a bid order entry region comprising a plurality of locations for receiving commands to send buy orders, each location corresponding to a price level along the common static price axis; and
an ask order entry region comprising a plurality of locations for receiving commands to send sell orders, each location corresponding to a price level along the common static price axis.

53. (Canceled)

54. (Amended) The method of claim 54 wherein the bid order entry region overlaps with the bid display region and the ask order entry region overlaps with the ask display region.

55. (Amended) The method of claim 41 further comprising the steps of:

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Atty. Dkt. No. 024051-0155

D2

displaying the first indicator at a first location associated with a first price level on the common static price axis at a first time; and

displaying the first indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

~~21~~

~~62.~~ (Amended) The method of claim ~~41~~ further comprising the steps of:

displaying the second indicator at a first location associated with a first price level on the common static price axis at a first time; and

D3

displaying the second indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

~~27~~

~~68.~~ (Amended) A computer readable medium having program code recorded thereon for execution on a computer for displaying market information relating to and facilitating trading of a commodity being traded in an electronic exchange having an inside market with a highest bid price and a lowest ask price on a graphical user interface, the program code causing a machine to perform the following method steps:

D4

dynamically displaying a first indicator in one of a plurality of locations in a bid display region, each location in the bid display region corresponding to a price level along a common static price axis, the first indicator representing quantity associated with at least one order to buy the commodity at the highest bid price currently available in the market;

dynamically displaying a second indicator in one of a plurality of locations in an ask display region, each location in the ask display region corresponding to a the price level along the common static price axis, the second indicator representing quantity associated with at least one order to sell the commodity at the lowest ask price currently available in the market;

displaying the bid and ask display regions in relation to fixed price levels positioned along the common static price axis such that when the inside market changes, the price levels along the common static price axis do not move and at least one of the first and second indicators moves in the bid or ask display regions relative to the common static price axis;

Atty. Dkt. No. 024051-0155

displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the common static price axis; and

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in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

~~28~~ 68. (New) The method of claim ~~51~~ wherein the first and third indicators are displayed in locations of the bid display region that are arranged along an axis which is parallel to the common static price axis.

~~29~~ 70. (New) The method of claim ~~51~~ wherein the second and fourth indicators are displayed in locations of the ask display region that are arranged along an axis which is parallel to the common static price axis.

25

~~30~~ 71. (New) The method of claim ~~51~~ further comprising the steps of:
displaying the first indicator at a first location associated with a first price level on the common static price axis at a first time; and
displaying the first indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

~~31~~ 72. (New) The method of claim ~~71~~ wherein the third and fourth indicators remain in the same location in the bid and ask display regions, respectively, before and after the first indicator is displayed at the second location.

~~32~~ 73. (New) The method of claim ~~72~~ wherein each location of the bid display region corresponds to a different price level along the common static price axis and each location of the ask display region corresponds to a different price level along the common static price.

~~33~~ 74. (New) The method of claim ~~51~~ further comprising the steps of:
displaying the second indicator at a first location associated with a first price level on the common static price axis at a first time; and

Atty. Dkt. No. 024051-0155

displaying the second indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

³⁴~~75~~. (New) The method of claim ³³~~74~~ wherein the third and fourth indicators remain in the same location in the bid and ask display regions, respectively, before and after the second indicator is displayed at the second location.

³⁵~~76~~. (New) The method of claim ³⁴~~75~~ wherein each location of the bid display region corresponds to a different price level along the common static price axis and each location of the ask display region corresponds to a different price level along the common static price.

³⁶~~77~~. (New) The method of claim ¹~~41~~ wherein the bid and ask display regions are displayed separately.

25

³⁷~~78~~. (New) The method of claim ¹~~41~~ wherein the first and second indicators are based on an exchange order book and wherein the price levels along the common static price axis do not move in response to the addition of a price to the exchange order book, the additional price comprising a price for which there is a corresponding displayed location in at least one of the bid and ask display regions.

³⁸~~79~~. (New) The method of claim ³⁷~~78~~ wherein the price levels along the common static price axis do not move in response to the removal of a price from the exchange order book, the removed price comprising a price for which there is a corresponding displayed location in at least one of the bid and ask display regions.

³⁹~~80~~. (New) The method of claim ¹~~41~~ wherein the first and second indicators are based on an exchange order book and the price levels along the common static price axis never move in response to a price change in the exchange order book relating to a price which corresponds to a displayed location in at least one of the bid and ask display regions.

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012

Atty. Dkt. No. 024051-0155

⁴⁰
~~51.~~ (New) The method of claim ~~41~~ wherein the plurality of parameters
comprises a price and type of order.

b

-7-

002.987476.1

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(Handwritten mark)

03/21/2003 19:41 FAX 5145

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013

Atty. Dkt. No. 024051-0155

REMARKS

Claims 41-68 were pending in the application. Claims 41-44, 48-50, 52-54, 56, 61, 62, and 68 have been amended. Claim 55 has been canceled without prejudice or disclaimer. Claims 69-81 have been added. No new matter has been introduced. Thus, claims 41-54, and 56-81 are pending for consideration at this time.

Applicants thank the Examiner for the telephone interview of March 21, 2003. The pending claims have been amended as discussed. The discussion resulted in agreement that the claims as amended are allowable and that a Notice of Allowance would be issued promptly.

Applicants note that the amendments are being made without prejudice and solely in order advance prosecution of this application more rapidly to issuance.

Respectfully submitted,

Date March 21, 2003

By 

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143
Telephone: (202) 672-5300
Facsimile: (202) 672-5399

Ankur D. Shah
Attorney for Applicant
Registration No. 41,514

Should additional fees be necessary in connection with the filing of this paper, or if a petition for extension of time is required for timely acceptance of same, the Commissioner is hereby authorized to charge deposit account No. 19-0741 for any such fees; and applicant hereby petitions for any needed extension of time.

-8-

002.987476.1

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Atty. Dkt. No. 024051-0155

MARKED UP VERSION SHOWING CHANGES MADE

41. (Amended) A method for displaying market information relating to and facilitating trading of a commodity being traded in an electronic exchange [market] having an inside market with a highest bid price and a lowest ask price on a graphical user interface, the method comprising:

dynamically displaying a first indicator in one of a plurality of locations in a bid display region, each location in the bid display region corresponding to a [in association with] price [levels] level along a common static price axis, the first indicator representing quantity associated with at least one order to buy the commodity at the highest bid price currently available in the market;

dynamically displaying a second indicator in one of a plurality of locations in an ask display region, each location in the ask display region corresponding to a [in association with the] price [levels] level along the common static price axis, the second indicator representing quantity associated with at least one order to sell the commodity at the lowest ask price currently available in the market; [and]

displaying the bid and ask display regions in relation to fixed price levels positioned along the common static price axis such that when the inside market changes, the price levels along the common static price axis do not move and at least one of the first and second indicators [can] moves in the bid [and] or ask display regions relative to the common static price axis [when the inside market changes];

displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the common static price axis; and

in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

42. (Amended) The method of claim 41 wherein the bid and ask display regions and the order entry region comprise columns with a plurality of cells that are displayed as a grid such that the cells of each column are aligned.

Atty. Dkt. No. 024051-0155

43. (Amended) The method of claim 41 wherein the bid and ask display regions and the order entry region are oriented vertically.

44. (Amended) The method of claim 41 wherein the bid and ask display regions and the order entry region are oriented horizontally.

48. (Amended) The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region comprise columns with a plurality of cells that are displayed as a grid such that the cells of each column are aligned.

49. (Amended) The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region are oriented vertically.

50. (Amended) The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region are oriented horizontally.

52. (Amended) The method of claim 51 wherein (one) a location of the plurality of locations of the bid display region comprises a blank region in which there is no first or third indicator displayed.

53. (Amended) The method of claim 41 wherein (one) a location of the plurality of locations of the ask display region comprises a blank region in which there is no second or fourth indicator displayed.

54. (Amended) The method of claim 41 [further comprising the steps of] wherein the order entry region comprises:

[displaying] a bid order entry region comprising a plurality of locations for receiving commands to send buy orders, each location corresponding to a price level along the common static price axis; and

Atty. Dkt. No. 024051-0155

[displaying] an ask order entry region comprising a plurality of locations for receiving commands to send sell orders, each location corresponding to a price level along the common static price axis.

65. (Canceled)

56. (Amended) The method of claim 54 wherein the bid order entry region [comprises] overlaps with the bid display region and the ask order entry region [comprises] overlaps with the ask display region.

61. (Amended) The method of claim 41 further comprising the steps of:
displaying the first indicator at a first location associated with a first price level on the common static price axis at a first time; and
[updating the display to] displaying the first indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

62. (Amended) The method of claim 41 further comprising the steps of:
displaying the second indicator at a first location associated with a first price level on the common static price axis at a first time; and
[updating the display to] displaying the second indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

68. (Amended) A computer readable medium having program code recorded thereon for execution on a computer for displaying market information relating to and facilitating trading of a commodity being traded in an electronic exchange (market) having an inside market with a highest bid price and a lowest ask price on a graphical user interface, the program code causing a machine to perform the following method steps:

dynamically displaying a first indicator in one of a plurality of locations in a bid display region, each location in the bid display region corresponding to a (in association with) price [levels] level along a common static price axis, the first indicator

Atty. Dkt. No. 024051-0155

representing quantity associated with at least one order to buy the commodity at the highest bid price currently available in the market;

dynamically displaying a second indicator in one of a plurality of locations in an ask display region, each location in the ask display region corresponding to a [in association with] the price [levels] level along the common static price axis, the second indicator representing quantity associated with at least one order to sell the commodity at the lowest ask price currently available in the market;

displaying the bid and ask display regions in relation to fixed price levels positioned along the common static price axis such that when the inside market changes, the price levels along the common static price axis do not move and at least one of the first and second indicators [can] moves in the bid [and] or ask display regions relative to the common static price axis [when the inside market changes];

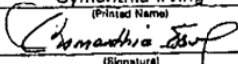
displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the common static price axis; and

in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

Atty. Dkt. No. 024051-0155

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Alan KEMP II et al.
 Title: CLICK BASED TRADING WITH
 INTUITIVE GRID DISPLAY OF
 MARKET DEPTH
 Appl. No.: 09/894,637
 Filing Date: 06/27/2001
 Examiner: R. Welsberger
 Art Unit: 3624

CERTIFICATE OF FACSIMILE TRANSMISSION	
I hereby certify that this paper is being facsimile transmitted to the United States Patent and Trademark Office, Washington, D.C. on the date below.	
Cymantia Irving (Printed Name)	
 (Signature)	
March 21, 2003 (Date of Deposit)	

AMENDMENT TRANSMITTAL

Commissioner for Patents
 Washington, D.C. 20231

Sir:

Transmitted herewith is an amendment in the above-identified application.

- Small Entity status under 37 C.F.R. § 1.9 and § 1.27 has been established by a Small Entity statement previously submitted.
- Small Entity statement is enclosed.
- The fee required for additional claims is calculated below:

	Claims as Amended	Previously Paid For	Extra Claims Present		Rate		Additional Claims Fee	
Total Claims:	40	28	12	x	\$18.00	=	\$216.00	
Independents:	2	3	0	x	\$84.00	=	\$0.00	
First presentation of any Multiple Dependent Claims:				+	\$280.00	=	\$0.00	
CLAIMS FEE TOTAL:							=	\$216.00

- Applicant hereby petitions for an extension of time under 37 C.F.R. § 1.136(a) for the total number of months checked below:

05/26/2004 SWILLIAM 00000001 190741 09894637
 01 FC:1202 216.00 DA

-1-

002.968041.1

Received from < 5145 > at 3/21/03 7:38:28 PM [Eastern Standard Time]

Atty. Dkt. No. 024051-0155

<input type="checkbox"/>	Extension for response filed within the first month:	\$110.00	\$0.00
<input type="checkbox"/>	Extension for response filed within the second month:	\$410.00	\$0.00
<input type="checkbox"/>	Extension for response filed within the third month:	\$930.00	\$0.00
<input type="checkbox"/>	Extension for response filed within the fourth month:	\$1,450.00	\$0.00
<input type="checkbox"/>	Extension for response filed within the fifth month:	\$1,970.00	\$0.00
	EXTENSION FEE TOTAL:		\$0.00
	CLAIMS AND EXTENSION FEE TOTAL:		\$216.00
<input checked="" type="checkbox"/>	Small Entity Fees Apply (subtract % of above):		\$108.00
	TOTAL FEE:		\$108.00

Please charge Deposit Account No. 19-0741 in the amount of \$108.00. A duplicate copy of this transmittal is enclosed.

A check in the amount of \$108.00 is enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741. If any extensions of time are needed for timely acceptance of papers submitted herewith, applicant hereby petitions for such extension under 37 C.F.R. § 1.136 and authorizes payment of any such extensions fees to Deposit Account No. 19-0741.

Please direct all correspondence to the undersigned attorney or agent at the address indicated below.

Respectfully submitted,

Date March 21, 2003

By 

FOLEY & LARDNER
 Washington Harbour
 3000 K Street, N.W., Suite 500
 Washington, D.C. 20007-5143
 Telephone: (202) 672-5300
 Facsimile: (202) 672-5399

Ankur D. Shah
 Attorney for Applicant
 Registration No. 41,514



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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P.O. Box 450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/894,637	06/27/2001	Gary Allan Kemp II	024051-0155	1527

7590 06/17/2004
FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W.
Suite 500
Washington, DC 20007-5143

EXAMINER

WEISBERGER, RICHARD C

ART UNIT PAPER NUMBER

3624

DATE MAILED: 06/17/2004

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

Free chg.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, DC 20231
www.uspto.gov

Robert C. Klinger
Jackson Walker L.L.P.
Suite 600
2435 North Central Expressway
Richardson, TX 75080

Paper No. 18

In re application of : **DECISION ON PETITION**
Gary Allen Kemp II et al. : **TO MAKE SPECIAL**
Application No. 09/894,637 : **(INFRINGEMENT)**
Filed: June 27, 2001
For: **CLICK BASED TRADING WITH INTUITIVE
GRID DISPLAY OF MARKET DEPTH**

This is a decision on the petition under 37 C.F.R § 1.102(d) filed September 7, 2001 to make the above-identified application special. The delay in treating this petition is sincerely regretted.

The petition requests that the above-identified application be made special under the procedure set forth in M.P.E.P. § 708.02, item II: Infringement.

MPEP 708.02 states that a Petition to Make Special based on Infringement must have the following: (1) the appropriate petition fee under 37 CFR 1.17(i); (2) a statement by the assignee, applicant, or attorney alleging: (A) that there is an infringing device or product actually on the market; (B) that a rigid comparison of the alleged infringing device or product with the claims of the application has been made, and that, in his or her opinion, some of the claims are unquestionably infringed; and (C) that he or she has made a careful and thorough search of the prior art, or has good knowledge of the prior art, and has sent a copy of the references deemed most closely related to the subject matter encompassed by the claims.

The petition filed September 7, 2001 includes all of the requirements above and, therefore, the petition is **GRANTED**. The \$130. petition fee has been charged to applicant's deposit account No. 19-0741 as per applicant's authorization to do so in the documents filed September 7, 2001.

The examiner is directed (1) to make an interference search for possible interfering applications; (2) to promptly examine this application out of turn; and (3) if any interfering application is discovered, to examine such application simultaneously and

- 2 -

state in the first official letter of such application that it is being taken out of turn because of a possible interference.

Petitioner is advised that this application will continue to be special, throughout its entire prosecution and pendency, including interference and appeal, if any, only if petitioner makes a prompt *bona fide* effort, in response to each Office action, to place the application in condition for allowance, even if it is necessary to conduct an interview with the examiner to accomplish this purpose.



Steven N. Meyers
Special Programs Examiner
Technology Center 3600
(703) 308-3868

snm : 6/14/04

06/17/2004 SWILLIAM 00000003 190741 09894637
01 FC:1460 130.00 DA



Atty. Dkt. No. 024051-0155

WJC
H King

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Alan KEMP, II et al.

Title: CLICK BASED TRADING WITH INTUITIVE
GRID DISPLAY OF MARKET DEPTH

Patent. No.: 6,766,304 *B2*

Issue Date: 07/20/2004

Examiner: R. Weisberger

Art Unit: 3624

Certificate
OCT 06 2004
of Correction

**REQUEST FOR CERTIFICATE OF CORRECTION FOR PTO MISTAKE
PURSUANT TO 37 C.F.R. § 1.322(a)**

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

Sir:

Enclosed, in duplicate, is a Certificate of Correction, Form PTO/SB/44, for United States Patent Number 6,766,304 issued July 20, 2004. The following Patent Office printing errors appear in the issued patent:

ON THE TITLE PAGE

Item (56) Please add the following in the References Cited:

U.S. PATENT DOCUMENTS

4,903,201	A	2/1990	Wagner
5,101,353	A	3/1992	Lupien et al.
5,946,667	A	8/1999	Tull, Jr., et al.
6,035,287	A	3/2000	Stallaert et al.
2002/0138401 A1		9/2002	Allen et al.

FOREIGN PATENT DOCUMENTS

WO	WO 95/35005	9/1995
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OCT 08 2004

Atty. Dkt. No. 024051-0155

Submitted herewith is a copy of Form PTO/SB/08 dated October 20, 2003, signed and dated by the Examiner, listing the references that were inadvertently omitted from the front of the patent.

IN THE CLAIMS:

The errors in the issued patent are listed below and the corrections are supported by the Amendment filed on March 21, 2003. The errors in the patent are shown by column and line number as follows.

Col. 14, line 64, the word "Static" should be --static--. (See Amendment filed March 21, 2003, pages 4-5, claim 68 now claim 27.)

Col. 15, line 26, after "claim 11" add the word --further--. (See Amendment filed March 21, 2003, page 5, claim 71 now claim 30.)

Col. 16, line 1, after "claim 11" add the word --further--. (See Amendment filed March 21, 2003, page 5, claim 74 now claim 33.)

Col. 16, line 10, the word "an" should be --and--. (See Amendment filed March 21, 2003, page 5, claim 75 now claim 34.)

Col. 16, line 40, after "claim 1" add --wherein--. (See Amendment filed March 21, 2003, page 7, claim 81 now claim 40.)

Attached for your review is a copy of the as-filed Transmittal and Amendment filed March 21, 2003. The instant corrections conform the claims in the patent with the Amendment filed on March 21, 2003.

Applicant submits that the above changes would not constitute new matter, and correction thereof would not require reexamination.

Pursuant to 37 C.F.R. §1.322, Applicant requests that the enclosed Certificate of Correction be approved.


OCT 08 2004

Atty. Dkt. No. 024051-0155

Although Applicant believes that no fee is required for this Request, the Commissioner is hereby authorized to charge any additional fees which may be required for this Request to Deposit Account No. 19-0741.

Respectfully submitted,

Date OCTOBER 4, 2014

By 
Reg No. 41514

FOLEY & LARDNER LLP
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143
Telephone: (202) 672-5485
Facsimile: (202) 672-5399

William T. Ellis
Attorney for Applicant
Registration No. 26,874

OCT 06 2014

Under the Paperwork Reduction Act of 1995, no persons are required to a collection of information unless it displays a valid OMB control number.
(Also Form PTO-1050)

**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**

PATENT NO : 6,766,304 *B2*
DATED : 07/20/2004
INVENTOR(S) : Gary Allan Kemp II; Jens-Uwe Schluetter; Harris Brumfield

It is certified that errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

ON THE TITLE PAGE

Item (56) References Cited - adding

U.S. PATENT DOCUMENTS

4,903,201	A	2/1990	Wagner
5,101,353	A	3/1992	Lupien et al.
5,946,667	A	8/1999	Tull, Jr., et al.
6,035,287	A	03/2000	Stallaert et al.
2002/0138401 A1		9/2002	Allen et al.

FOREIGN PATENT DOCUMENTS

WO	WO 95/35005	9/1995
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MAILING ADDRESS OF SENDER: William T. Ellis
Foley & Lardner LLP
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143

PATENT NO. 6,766,304 *B2*
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OCT 08 2004

**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**

PATENT NO : 6,766,304 *BZ*
DATED : 07/20/2004
INVENTOR(S) : Gary Allan Kemp II; Jens-Uwe Schluetter; Harris Brumfield

It is certified that errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

IN THE CLAIMS:

- Col. 14, line 64, the word "Static" should be --static--.
- Col. 15, line 26, after "claim 11" add the word --further--.
- Col. 16, line 1, after "claim 11" add the word --further--.
- Col. 16, line 10, the word "an" should be --and--.
- Col. 16, line 40, after "claim 1" add --wherein--.

MAILING ADDRESS OF SENDER:

William T. Ellis
Foley & Lardner LLP
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143

PATENT NO. 6,766,304 *BZ*
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**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**

PATENT NO : 6,766,304 *B2*
DATED : 07/20/2004
INVENTOR(S) : Gary Allan Kemp II; Jens-Uwe Schluetter; Harris Brumfield

It is certified that errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

ON THE TITLE PAGE

Item (56) References Cited - adding

U.S. PATENT DOCUMENTS

4,903,201	A	2/1990	Wagner
5,101,353	A	3/1992	Lupien et al.
5,946,667	A	8/1999	Tull, Jr., et al.
6,035,287	A	03/2000	Stallaert et al.
2002/0138401	A1	9/2002	Allen et al.

FOREIGN PATENT DOCUMENTS

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MAILING ADDRESS OF SENDER: William T. Ellis
Foley & Lardner LLP
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143

PATENT NO. 6,766,304 *B2*
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(Also Form PTO-1050)

**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**

PATENT NO : 6,766,304 *B2*

DATED : 07/20/2004

INVENTOR(S) : Gary Allan Kemp II; Jens-Uwe Schluetter; Harris Brumfield

It is certified that errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

IN THE CLAIMS:

Col. 14, line 64, the word "Static" should be --static--.

Col. 15, line 26, after "claim 11" add the word --further--.

Col. 16, line 1, after "claim 11" add the word --further--.

Col. 16, line 10, the word "an" should be --and--.

Col. 16, line 40, after "claim 1" add --wherein--.

MAILING ADDRESS OF SENDER: William T. Ellis
Foley & Lardner LLP
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143

PATENT NO. 6,766,304 *B2*

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OCT 08 2004

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO. : 6,766,304 B2
DATED : July 20, 2004
INVENTOR(S) : Gary Allan Kemp II, Jens-Uwe Schluetter and Harris Brumfield

Page 1 of 1

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Title page.

Item [56], **References Cited**, U.S. PATENT DOCUMENTS, add the following:

-- 4,903,201	A	2/1990	Wagner
5,101,353	A	3/1992	Lupien et al.
5,946,667	A	8/1999	Tull, Jr., et al.
6,035,287	A	3/2000	Stallaert et al.
2002/0138401	A1	9/2002	Allen et al. --

FOREIGN PATENT DOCUMENTS, add the following:

-- WO WO 95/35005 9/1995 --

Column 14.

Line 64, the word "Static" should be -- static --.

Column 15.

Line 26, after "claim 11" add the word -- further --.

Column 16.

Line 1, after "claim 11" add the word -- further --.

Line 10, the word "an" should be -- and --.

Line 40, after "claim 1" add -- wherein --.

Signed and Sealed this

Sixteenth Day of November, 2004



JON W. DUDAS
Director of the United States Patent and Trademark Office

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### Status: Path 1 o.      Dialog Information Services vi.      m]

### Status: Initializing TCP/IP using (UseTelnetProto 1 ServiceID pto-dialog)
Trying 3106000009999...Open

DIALOG INFORMATION SERVICES
PLEASE LOGON:
***** HHHHHHHH SSSSSSS?
### Status: Signing onto Dialog
*****
ENTER PASSWORD:
***** HHHHHHHH SSSSSSS? *****
Welcome to DIALOG
### Status: Connected

Dialog level 03.06.02D

Last logoff: 13dec03 19:52:44
Logon file405 13jan04 11:18:20
GURU1 is set ON as an alias for 15,16,160,148,275,621.
GURU2 is set ON as an alias for 9,623,810,624,636,813,634,20.
>>>Invalid SET option: GURU3
>>>Invalid SET option: GURU4
* * * ALL NEW CURRENT YEAR RANGES HAVE BEEN * * *
* * * INSTALLED * * *
SYSTEM:HOME
Cost is in DialUnits
Menu System II: D2 version 1.7.9 term=ASCII
*** DIALOG HOMEBASE(SM) Main Menu ***

Information:
1. Announcements (new files, reloads, etc.)
2. Database, Rates, & Command Descriptions
3. Help in Choosing Databases for Your Topic
4. Customer Services (telephone assistance, training, seminars, etc.)
5. Product Descriptions

Connections:
6. DIALOG(R) Document Delivery
7. Data Star(R)

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/H = Help          /L = Logoff          /NOMENU = Command Mode

Enter an option number to view information or to connect to an online
service. Enter a BEGIN command plus a file number to search a database
(e.g., B1 for ERIC).
?b 411

13jan04 11:18:57 User214359 Session D167.1
$0.00      0.160 DialUnits FileHomeBase
$0.00 Estimated cost FileHomeBase
$0.14 TELNET
$0.14 Estimated cost this search
$0.14 Estimated total session cost 0.160 DialUnits

File 411:DIALINDEX(R)

DIALINDEX(R)
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*** DIALINDEX search results display in an abbreviated ***
*** format unless you enter the SET DETAIL ON command. ***
?s market and depth and (price or prices) and (dynamic or moving) and diplay and (trade

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04334187 (THIS IS THE FULLTEXT)

Fidelity Investments Considers Larger Presence in On-Line Trading

Lynnley Browning

KRTBN KNIGHT-RIDDER TRIBUNE BUSINESS NEWS (BOSTON GLOBE)

February 16, 1999

JOURNAL CODE: KBGL LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 956

More of the thrills, fewer of the spills.

Seeking to tap into the growing popularity of on-line stock trading while avoiding cyberinvesting's newly tarnished image, Fidelity Investments is gearing up to offer some of the specialized services more commonly found at fast-paced Internet-only brokerages and so-called "day trading" shops.

With investors flocking to the Web to buy and sell shares, Fidelity's moves, still under wraps, are likely to shake up the on-line investing boom and spark a new wave of competition.

The new services Fidelity is eyeing might seem obscure: real-time account balance updates; free, unlimited **real - time stock** quotes; and souped-up market feeds, known as Nasdaq Level 2, that show not just live prices but also buyers' and sellers' identities and positions.

Fidelity is better known as the nation's biggest mutual fund firm than as the second biggest discount stock brokerage. As an on-line investing shop, it is less prominent.

But in a world where one in four retail stock trades is now made on line, and where on-line customers trade more frequently than those who use a traditional bricks-and-mortar brokerage, Fidelity now sees such tools as key in the battle for cyberinvestors.

What is striking is that such investing weapons are usually found not at the on-line brokerage units of full-service mutual fund firms such as Fidelity or Charles Schwab & Co., but at hundreds of smaller, Web-only shops including ETrade and Datek, a scrappy outfit more akin to a day-trading firm.

Such upstart Web brokerages are, of course, synonymous with more than advanced tools and cut-rate prices. In recent weeks, they have had embarrassing power outtages, software glitches, and price delays resulting in trades costing customers tens of thousands of extra dollars.

The turmoil has bruised the already rough-and-tumble world of on-line investing. But it has also highlighted how a new generation of shops now dominates cyberinvesting, wielding tools and services not yet offered by traditional firms such as Boston-based Fidelity.

"Fidelity is going for the high-end on-line **trader** but also the active **traders** " who often frequent Web-based brokerages, said Bill Burnham, an electronic commerce analyst at CS First Boston. "They clearly intend to build a big business."

With 1.8 million on-line brokerage accounts, Fidelity has 9.4 percent of all on-line trades, ranking fifth behind pioneer Schwab (the first-place leader, with 29 percent of the market) and Web-based firms Waterhouse Securities, ETrade, and Datek, according to Gomez Advisors Inc, a consulting firm in Concord, Mass.

Fidelity won't say exactly when it plans to launch its new services, which will be closely watched by rivals. But persons familiar with the firm's plans said Fidelity would unveil things in the coming months.

While declining to be specific, a Fidelity executive offered a glimpse into the fund behemoth's view of cyberinvesting.

"The on-line investing industry is going towards beefing up the non-price aspects of their offerings," said Matthew Sadler, a Fidelity senior vice president in charge of brokerage services. "It is clearly evident that all on-line investors are not entirely price elastic," Sadler said. "There are other elements that are critical to them, like service, reliability, tools, certain aspects of information, and customization. "

Fidelity's new services target its 36,000 most active on-line clients. Trading at least 36 times a year, that top 2 percent of Fidelity on-line customers already account for the bulk of the firm's on-line transactions.

But Fidelity also wants to cut costs by having regular brokerage

customers do business on line rather than in person at a Fidelity branch. While on-line investing constitutes less than 10 percent of Fidelity's overall revenues, according to broad estimates, getting brokerage customers to convert to cyberinvesting would give Fidelity a lead.

Since Fidelity's retail brokerage holds around 15 percent of the firm's total \$750 billion in assets, there is plenty of profit to be made in directing that business on line as well as in attracting new customers, according to Cerulli & Associates, a financial services consulting firm.

Fidelity earns a flat commission each time a client buys or sells a stock on line. Its lowest rate is \$14.95 for customers trading at least 12 times a year. (Deep-discount shops like Ameritrade charge \$8 a trade, while Schwab charges a flat \$29.95). Fidelity also earns interest on money on-line clients borrow from Fidelity to buy stocks, as well as fees from the cash clients keep in Fidelity money-market funds to finance stock purchases.

In the past 18 months, Fidelity won new on-line customers by revamping commission rates to make things cheaper for heavy **traders** and more costly for dabblers.

Now the firm increasingly views souped-up investing tools -- along with its investment research and improved, user-friendly Web site -- as the lure to getting active **traders** to buy and sell more. It recently added on-line bill payment features. Last month, it introduced "InstantBroker" two-way pagers allowing clients to make instant trades.

Still, industry analysts said Fidelity had not ruled out another pricing revamp, a move that would prompt responses from at least some competitors. Said a top Fidelity executive recently: "There are ways to change the pricing system without instituting a pricing war."

Fidelity is not courting fly-by-night day-**traders** (at Fidelity, such clients number only in the hundreds). On the other end, it is closely watching the impending foray of powerhouse firms into on-line trading, especially Merrill Lynch & Co., the nation's largest stockbroker.

But with the number of Internet brokerage accounts to grow 40 percent this year to 10.5 million, according to Gomez, Fidelity is keenly aware of the competitive threat posed by a new slew of smaller, on-line shops

"ETrade is a viable competitor of ours," said Fidelity's Sadler, a former Schwab on-line executive. "The game is very different in the discount brokerage world now."

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COMPANY NAMES: Fidelity Investment Bank
DESCRIPTORS: Marketing; Company News; New Products & Services
COUNTRY NAMES/CODES: United States of America (US)
REGIONS: Americas; North America; Pacific Rim
SIC CODES/DESCRIPTIONS: 6720 (Investment Offices); 6211 (Security Brokers & Dealers)

```
### Status: Path 1 o      llog Information Services vi.      m]

### Status: Initializing TCP/IP using (UseTelnetProto 1 ServiceID pto-dialog)
Trying 31060000009999...Open

DIALOG INFORMATION SERVICES
PLEASE LOGON:
***** HHHHHHHH SSSSSSS?
### Status: Signing onto Dialog
*****
ENTER PASSWORD:
***** HHHHHHHH SSSSSSS? *****
Welcome to DIALOG
### Status: Connected
```

Dialog level 03.06.02D

```
Last logoff: 13dec03 19:52:44
Logon file405 13jan04 11:18:20
GURU1 is set ON as an alias for 15,16,160,148,275,621.
GURU2 is set ON as an alias for 9,623,810,624,636,813,634,20.
>>>Invalid SET option: GURU3
>>>Invalid SET option: GURU4
* * * ALL NEW CURRENT YEAR RANGES HAVE BEEN * * *
* * * INSTALLED * * *
SYSTEM:HOME
Cost is in DialUnits
Menu System II: D2 version 1.7.9 term=ASCII
*** DIALOG HOMEBASE(SM) Main Menu ***
```

Information:

1. Announcements (new files, reloads, etc.)
2. Database, Rates, & Command Descriptions
3. Help in Choosing Databases for Your Topic
4. Customer Services (telephone assistance, training, seminars, etc.)
5. Product Descriptions

Connections:

6. DIALOG(R) Document Delivery
7. Data Star(R)

(c) 2003 Dialog, a Thomson business. All rights reserved.

/H = Help /L = Logoff /NOMENU = Command Mode

Enter an option number to view information or to connect to an online service. Enter a BEGIN command plus a file number to search a database (e.g., B1 for ERIC).
?b 411

```
13jan04 11:18:57 User214359 Session D167.1
      $0.00 0.160 DialUnits FileHomeBase
$0.00 Estimated cost FileHomeBase
$0.14 TELNET
$0.14 Estimated cost this search
$0.14 Estimated total session cost 0.160 DialUnits
```

File 411:DIALINDEX(R)

DIALINDEX(R)

(c) 2004 The Dialog Corporation plc

*** DIALINDEX search results display in an abbreviated ***
*** format unless you enter the SET DETAIL ON command. ***
?s market and depth and (price or prices) and (dynamic or moving) and diplay and (trade

end and preset and bid and ask

File with & are thoroughly searched.

Items	File
1	15: ABI/Inform(R) 1971-2003/Mar 22
1	16: Gale Group PROMT(R) 1990-2003/Mar 21
1	47: Gale Group Magazine_DB(TM) 1959-2003/Mar 20
Examined 50 files	
Examined 100 files	
Examined 150 files	
1	275: Gale Group Computer DB(TM) 1983-2003/Mar 21
Examined 200 files	
9	349: PCT FULLTEXT 1979-2002/UB=20030320,UT=20030313
Examined 250 files	
1	484: Periodical Abs Plustext 1986-2003/Mar W3
Examined 300 files	
Examined 350 files	
1	660: Federal News Service 1991-2002/Jul 02
Examined 400 files	
Examined 450 files	

7 files have one or more items; file list includes 477 files.

? market and depth and (price or prices) and (dynamic or moving) and display and front and end and preset and bid and ask

>>>Unrecognizable command.

?

?s market and depth and and ask and bid and front and end and display and order and (dynamic or moving)

Your SELECT statement is:

s market and depth and and ask and bid and front and end and display and order and (dynamic or moving)

Items	File
-------	------

>>>Operator "AND" in invalid position

?s market and depth and price and ask and bid and front and end and display

Your SELECT statement is:

s market and depth and price and ask and bid and front and end and display

Items	File
2	13: BAMP 2003/Feb W1
24	15: ABI/Inform(R) 1971-2003/Mar 22
13	16: Gale Group PROMT(R) 1990-2003/Mar 21
5	20: Dialog Global Reporter 1997-2003/Mar 22
7	47: Gale Group Magazine_DB(TM) 1959-2003/Mar 20
6	75: TGG Management Contents(R) 86-2003/Mar W3
Examined 50 files	
15	88: Gale Group Business A.R.T.S. 1976-2003/Mar 21
1	98: General Sci Abs/Full-Text 1984-2003/Feb
1	101: Disclosure Database(R) 2003/Jan W3
2	122: Harvard Business Review 1971-2003/Mar
8	141: Readers Guide 1983-2003/Feb
33	148: Gale Group Trade & Industry DB 1976-2003/Mar 21
1	149: TGG Health&Wellness DB(SM) 1976-2003/Mar W2
Examined 100 files	
20	180: Federal Register 1985-2003/Mar 21
1	211: Gale Group Newsearch(TM) 2003/Mar 21
Examined 150 files	
4	262: CBCA Fulltext 1982-2003/Apr
12	275: Gale Group Computer DB(TM) 1983-2003/Mar 21
Examined 200 files	
2	348: EUROPEAN PATENTS 1978-2003/Mar W03

49 349: PCT FULLTEXT_1979-2002/UB=20030320,UT=2003: 3
 Examined 250 files
 1 436: Humanities Abs Full Text_1984-2003/Feb
 17 484: Periodical Abs Plustext_1986-2003/Mar W3
 9 485: Accounting & Tax DB_1971-2003/Mar W3
 Examined 300 files
 3 619: Asia Intelligence Wire_1995-2003/Mar 21
 Examined 350 files
 2 635: Business Dateline(R)_1985-2003/Mar 22
 4 636: Gale Group Newsletter DB(TM)_1987-2003/Mar 21
 7 654: US PAT.FULL_1976-2003/Mar 18
 14 660: Federal News Service_1991-2002/Jul 02
 Examined 400 files
 1 727: Canadian Newspapers_1990-2003/Mar 22
 Examined 450 files
 1 781: ProQuest Newsstand_1998-2003/Mar 22
 2 990: NewsRoom Current_2003/Mar 22
 7 993: NewsRoom 2002/Jan-Nov
 3 994: NewsRoom 2001
 5 995: NewsRoom 2000

33 files have one or more items; file list includes 477 files.

r or trading) and bid and screen
 >>>No files selected. Use SET FILES to choose at least two files; then use
 SELECT alone to reissue this SELECT statement.
 ?sf all
 You have 485 files in your file list.
 (To see banners, use SHOW FILES command)
 ?s market and front and end and screen and display and depth and bid and ask and (trade
 or trading)
 Your SELECT statement is:
 s market and front and end and screen and display and depth and bid and
 ask and (trade or trading)

Items	File
1	13: BAMP 2003/Dec W3
12	15: ABI/Inform(R)_1971-2004/Jan 10
8	16: Gale Group PROMT(R)_1990-2004/Jan 13
5	20: Dialog Global Reporter_1997-2004/Jan 13
5	47: Gale Group Magazine DB(TM)_1959-2004/Jan 05
3	75: TGG Management Contents(R)_86-2004/Jan W1
Examined 50 files	
6	88: Gale Group Business A.R.T.S._1976-2004/Jan 13
1	98: General Sci Abs/Full-Text_1984-2003/Nov
5	141: Readers Guide_1983-2003/Nov
22	148: Gale Group Trade & Industry DB_1976-2004/Jan 13
Examined 100 files	
11	180: Federal Register_1985-2004/Jan 12
1	211: Gale Group Newsearch(TM)_2004/Jan 12
Examined 150 files	
3	262: CBCA Fulltext_1982-2004/Jan
9	275: Gale Group Computer DB(TM)_1983-2004/Jan 13
Examined 200 files	
1	348: EUROPEAN PATENTS 1978-2004/Jan W01
43	349: PCT FULLTEXT_1979-2002/UB=20031225,UT=20031218
Examined 250 files	
1	436: Humanities Abs Full Text_1984-2003/Nov
7	484: Periodical Abs Plustext_1986-2004/Jan W1
4	485: Accounting & Tax DB_1971-2004/Jan W1
Examined 300 files	
2	619: Asia Intelligence Wire_1995-2004/Jan 12
Examined 350 files	
2	636: Gale Group Newsletter DB(TM)_1987-2004/Jan 13
120	654: US Pat.Full._1976-2004/Jan 08
4	660: Federal News Service_1991-2002/Jul 02
Examined 400 files	
1	727: Canadian Newspapers_1990-2004/Jan 13
1	759: Reuters Business Insight_1992-2003/Dec
Examined 450 files	
1	781: ProQuest Newsstand 1998-2004/Jan 12
2	990: NewsRoom Current Oct_2004/Jan 13
2	992: NewsRoom Current_2003/Sep 30
5	993: NewsRoom 2002
1	994: NewsRoom 2001
4	995: NewsRoom 2000

31 files have one or more items; file list includes 485 files.

?save temp
 Temp SearchSave "TD145" stored
 ?b hits
 13jan04 11:31:57 User214359 Session D167.2
 \$20.51 10.257 DialUnits File411
 \$20.51 Estimated cost File411
 \$3.02 TELNET
 \$23.53 Estimated cost this search
 \$23.67 Estimated total session cost 10.417 DialUnits

SYSTEM:OS - DIALOG OneSearch
 File 13:BAMP 2003/Dec W3
 (c) 2003 Resp. DB Svcs.
 File 15:ABI/Inform(R) 1971-2004/Jan 10
 (c) 2004 ProQuest Info&Learning
***File 15: Alert feature enhanced for multiple files, duplicate removal, customized scheduling. See HELP ALERT.**
 File 16:Gale Group PROMT(R) 1990-2004/Jan 13
 (c) 2004 The Gale Group
***File 16: Alert feature enhanced for multiple files, duplicate removal, customized scheduling. See HELP ALERT.**
 File 20:Dialog Global Reporter 1997-2004/Jan 13
 (c) 2004 The Dialog Corp.
 File 47:Gale Group Magazine DB(TM) 1959-2004/Jan 05
 (c) 2004 The Gale group
 File 75:TGG Management Contents(R) 86-2004/Jan W1
 (c) 2004 The Gale Group
 File 88:Gale Group Business A.R.T.S. 1976-2004/Jan 13
 (c) 2004 The Gale Group
 File 98:General Sci Abs/Full-Text 1984-2003/Nov
 (c) 2003 The HW Wilson Co.
 File 141:Readers Guide 1983-2003/Nov
 (c) 2003 The HW Wilson Co
 File 148:Gale Group Trade & Industry DB 1976-2004/Jan 13
 (c)2004 The Gale Group
***File 148: Alert feature enhanced for multiple files, duplicate removal, customized scheduling. See HELP ALERT.**
 File 180:Federal Register 1985-2004/Jan 12
 (c) 2004 format only The DIALOG Corp
 File 211:Gale Group Newsearch(TM) 2004/Jan 12
 (c) 2004 The Gale Group
 File 262:CBCA Fulltext 1982-2004/Jan
 (c) 2004 Micromedia Ltd.
 File 275:Gale Group Computer DB(TM) 1983-2004/Jan 13
 (c) 2004 The Gale Group
 File 348:EUROPEAN PATENTS 1978-2004/Jan W01
 (c) 2004 European Patent Office
 File 349:PCT FULLTEXT 1979-2002/UB=20031225,UT=20031218
 (c) 2003 WIPO/Univentio
 File 436:Humanities Abs Full Text 1984-2003/Nov
 (c) 2003 The HW Wilson Co
 File 484:Periodical Abs Plustext 1986-2004/Jan W1
 (c) 2004 ProQuest
***File 484: SELECT IMAGE AVAILABILITY FOR PROQUEST FILES**
 ENTER 'HELP PROQUEST' FOR MORE
 File 485:Accounting & Tax DB 1971-2004/Jan W1
 (c) 2004 ProQuest Info&Learning
***File 485: SELECT IMAGE AVAILABILITY FOR PROQUEST FILES**
 ENTER 'HELP PROQUEST' FOR MORE
 File 619:Asia Intelligence Wire 1995-2004/Jan 12
 (c) 2004 Fin. Times Ltd
 File 636:Gale Group Newsletter DB(TM) 1987-2004/Jan 13
 (c) 2004 The Gale Group
 File 654:US Pat.Full. 1976-2004/Jan 08
 (c) Format only 2004 The Dialog Corp.
***File 654: US published applications now online. See HELP NEWS 654 for details. Reassignments current through December 2, 2003.**
 File 660:Federal News Service 1991-2002/Jul 02
 (c) 2002 Federal News Service
***File 660: This file no longer updates**
 File 727:Canadian Newspapers 1990-2004/Jan 13
 (c) 2004 Southam Inc.
 File 759:Reuters Business Insight 1992-2003/Dec
 (c) 2003 Datamonitor
 File 781:ProQuest Newsstand 1998-2004/Jan 12

(c) 2004 ProQuest Info&Learning
 File 990:NewsRoom Current Oct 2004/Jan 13
 (c) 2004 The Dialog Corporation
 File 992:NewsRoom Current 2003/Sep 30
 (c) 2004 The Dialog Corporation
 File 993:NewsRoom 2002 (c) 2004 The Dialog Corporation
 File 994:NewsRoom 2001 (c) 2004 The Dialog Corporation
 File 995:NewsRoom 2000 (c) 2004 The Dialog Corporation

Set Items Description
 --- -----

?exs

Executing TD145

>>>SET HIGHLIGHT: use ON, OFF, or 1-5 characters

Processing

Processed 10 of 31 files ...

Processing

Processed 20 of 31 files ...

Processing

Processed 30 of 31 files ...

Completed processing all files

24267784	MARKET
8426283	FRONT
27030006	END
2827068	SCREEN
3360396	DISPLAY
2086990	DEPTH
4266044	BID
4417600	ASK
11509588	TRADE
5084739	TRADING
S1 293	MARKET AND FRONT AND END AND SCREEN AND DISPLAY AND DEPTH AND BID AND ASK AND (TRADE OR TRADING)

Handwritten initials

?s s1 and pd<2001

>>>File 15 processing for PD= : PD=2001

>>> started at PD=710000 stopped at PD=920123

>>>File 16 processing for PD= : PD=2001

>>> started at PD=19900101 stopped at PD=19950623

Processing

Processing

Processing

>>>File 47 processing for PD= : PD=2001

>>> started at PD=590100 stopped at PD=640109

>>>File 88 processing for PD= : PD=2001

>>> started at PD=760100 stopped at PD=811222

Processing

>>>File 98 processing for PD= : PD=2001

>>> started at PD=19790400 stopped at PD=19910809

>>>File 141 processing for PD= : PD=2001

>>> started at PD=19820300 stopped at PD=19890825

>>>File 148 processing for PD= : PD=2001

>>> started at PD=140105 stopped at PD=820807

Processed 10 of 31 files ...

>>>File 180 processing for PD= : PD=2001

>>> started at PD=19850102 stopped at PD=19921224

>>>File 262 processing for PD= : PD=2001

>>> started at PD=1982 stopped at PD=850730

>>>File 275 processing for PD= : PD=2001

>>> started at PD=140103 stopped at PD=871108

Processing

>>>File 348 processing for PD= : PD=2001

>>> started at PD=78 stopped at PD=981210

Processing

>>>File 484 processing for PD= : PD=2001

>>> started at PD=860000 stopped at PD=900629

Processing

>>>File 485 processing for PD= : PD=2001

```
>>> started at PD=130000 stopped at PD=910220
>>>File 619 processing for PD= : PD=2001
>>> started at PD=120501 stopped at PD=981119
Processed 20 of 31 files ...
>>>File 636 processing for PD= : PD=2001
>>> started at PD=19880101 stopped at PD=19940318
Processing
>>>File 654 processing for PD= : PD=2001
>>> started at PD=A stopped at PD=19821130
>>>File 660 processing for PD= : PD=2001
>>> started at PD=901001 stopped at PD=950713
>>>File 727 processing for PD= : PD=2001
>>> started at PD=107280 stopped at PD=940522
Processing
>>>File 781 processing for PD= : PD=2001
>>> started at PD=830806 stopped at PD=970817
Processed 30 of 31 files ...
Processing
Processing
Completed processing all files
      293 S1
39158887 PD<2001
S2      26 S1 AND PD<2001
```

full

L Number	Hits	Search Text	DB	Time stamp
3	5	market and stock and front and end and screen and display and depth and bid and ask and (trade and trading)	USPAT	2004/01/13 12:27
4	5	market and (stock or stocks) and front and end and screen and display and depth and bid and ask and (trade and trading)	USPAT	2004/01/13 12:27
9	4	market and stock AND DISPLAY AND TRADING AND BID AND ASK AND DEPTH.CLM.	USPAT; EPO; JPO	2004/01/13 12:32
10	24	market and stock AND DISPLAY AND TRADING AND BID AND ASK AND DEPTH	USPAT; EPO; JPO	2004/01/13 12:32

full

PATENT APPLICATION FEE DETERMINATION RECORD
Effective October 1, 2000

Application or Docket Number
120046-00023

CLAIMS AS FILED - PART I

	(Column 1)	(Column 2)
TOTAL CLAIMS	21	
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	21 minus 20 =	1
INDEPENDENT CLAIMS	3 minus 3 =	0

* If the difference in column 1 is less than zero, enter "0" in column 2

CLAIMS AS AMENDED - PART II

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	Minus	** =
	Independent	Minus	*** =
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	Minus	** 21 = 6
	Independent	Minus	*** 3 = 0
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	Minus	** =
	Independent	Minus	*** =
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

* If the entry in column 1 is less than the entry in column 2, enter "0" in column 3.
 ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20."
 *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3."
 The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

SMALL ENTITY TYPE OR

RATE	FEE	OR	RATE	FEE
BASIC FEE	355.00	OR	BASIC FEE	710.00
X\$ 9=	0	OR	X\$18=	
X40=	0	OR	X80=	
+135=	0	OR	+270=	
TOTAL	364	OR	TOTAL	

SMALL ENTITY TYPE OR

RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	
X40=		OR	X80=	
+135=		OR	+270=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	

SMALL ENTITY TYPE OR

RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	
X40=		OR	X80=	
+135=		OR	+270=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	

SMALL ENTITY TYPE OR

RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	
X40=		OR	X80=	
+135=		OR	+270=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	

CLAIMS ONLY

SERIAL NO. 09894637 FILING DATE 07.05.01
 APPLICANT(S)

CLAIMS

	AS FILED		AFTER 1st AMENDMENT		AFTER 2nd AMENDMENT			*		*		*	
	IND.	DEP.	IND.	DEP.	IND.	DEP.		IND.	DEP.	IND.	DEP.	IND.	DEP.
1	1						51						
2							52						
3							53						
4							54						
5							55						
6							56						
7							57						
8							58						
9							59						
10							60						
11							61						
12							62						
13							63						
14							64						
15							65						
16							66						
17							67						
18							68						
19							69						
20							70						
21							71						
22							72						
23							73						
24							74						
25							75						
26							76						
27							77						
28							78						
29							79						
30							80						
31							81						
32							82						
33							83						
34							84						
35							85						
36							86						
37							87						
38							88						
39							89						
40							90						
41							91						
42							92						
43							93						
44							94						
45							95						
46							96						
47							97						
48							98						
49							99						
50							100						
TOTAL IND.							TOTAL IND.						
TOTAL DEP.							TOTAL DEP.						
TOTAL CLAIMS							TOTAL CLAIMS						

* MAY BE USED FOR ADDITIONAL CLAIMS OR ADMENDMENTS

MPI Family Report (Family Bibliographic and Legal Status)

In the MPI Family report, all publication stages are collapsed into a single record, based on identical application data. The bibliographic information displayed in the collapsed record is taken from the latest publication.

Report Created Date: 2010-02-16

Name of Report:

Number of Families: 1

Comments:

Table of Contents

1.	US6766304B2	20040720	TRADING TECH INT INC	US	
	Click based trading with intuitive grid display of market depth				73



Family1**100 records in the family, collapsed to 77 records.****AT293266T 20050415**

[no drawing available]

**(GER) MAUS-GESTEURTER BOERSENHANDEL MIT
INTUITIVER RASTERANZEIGE DER MARKT-TIEFE****Assignee:** TRADING TECH INT INC US**Inventor(s):** KEMP GARY ALLAN US ; SCHLUETTER
JENS-UWE US ; BRUMFIELD HARRIS US**Application No:** AT 01920183 T**Filing Date:** 20010302**Issue/Publication Date:** 20050415**Abstract:** (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.**Priority Data:** US 18632200 20000302 P Y; US 59069200 20000609 A Y; US 0106792 20010302 W W N;**IPC (International Class):** G06Q03000; G06F01700; G06Q04000**ECLA (European Class):** G06Q03000C4; G06Q04000B**Legal Status:**

Date	+/-	Code	Description
20060215	(+)	UEP	PUBLICATION OF TRANSLATION OF EUROPEAN PATENT SPECIFICATION Corresponding patent document: 1319211; Country code of corresponding patent document: EP;



AU2001247262B2 20061026**(ENG) Click based trading with intuitive grid display of market depth****Assignee:** TRADING TECH INT INC

[no drawing available]

Inventor(s): BRUMFIELD HARRIS ; KEMP GARY ALLAN ;
SCHLUETTER JENS-UWE**Application No:** AU 2001247262 A**Filing Date:** 20010302**Issue/Publication Date:** 20061026**Abstract:** (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.**Priority Data:** US 59069200 20000609 A Y; US 18632200 20000302 P Y; US 0106792 20010302 W W N;**IPC (International Class):** G06F01700; G06Q03000; G06Q04000**ECLA (European Class):** G06Q03000C4; G06Q04000B**Legal Status:**

Date	+/-	Code	Description
20070222	(+)	FGA	LETTERS PATENT SEALED (STANDARD PATENT)

AU2001296635B2 20070906**(ENG) Trading with display of market depth and price****Assignee:** TRADING TECH INT INC

[no drawing available]

Inventor(s): BRUMFIELD HARRIS ; KEMP GARY ALLAN**Application No:** AU 2001296635 A**Filing Date:** 20011005**Issue/Publication Date:** 20070906**Abstract:** (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuate. This allows the trader to trade quickly and efficiently. The price consolidation feature of the present invention, as described herein, enables a trader to consolidate a number of prices in order to condense the display. Such action allows a trader to view a greater range of prices and a greater number of orders in the market at any given time. By consolidating prices, and therefore orders, a trader reduces the risk of a favorable order scrolling from the screen prior to filling a bid or ask on that order at a favorable price.

Priority Data: US 23800100 20001006 P Y; US 0131222 20011005 W W N;

IPC (International Class): G06Q03000; G06Q04000

ECLA (European Class): G06Q04000B

Legal Status:

Date	+/-	Code	Description
20080110	(+)	FGA	LETTERS PATENT SEALED (STANDARD PATENT)

AU2003228606A1 20031103

(ENG) TRADING TOOLS FOR ELECTRONIC TRADING

Assignee: TRADING TECH INT INC

[no drawing available]

Inventor(s): BRUMFIELD HARRIS ; BURNS MICHAEL ;
WEST ROBERT A ; SINGER SCOTT ; KEMP
GARY ALLEN II ; SCHLUETTER JENS-UWE

Application No: AU 2003228606 A

Filing Date: 20030417

Issue/Publication Date: 20031103

Abstract: (ENG) Tools for trading and monitoring a commodity on an electronic exchange using a graphical user interface and a user input device. The tools will aid the trader in determining the status, trends in the market, and the trader's position in the market.

Priority Data: US 12589402 20020419 A Y; US 40375703 20030331 A Y; US 0312201 20030417 W W N;

IPC (International Class): G06Q03000; G06Q01000; G06Q04000; G06F01900

ECLA (European Class): G06Q04000B

Legal Status:

Date	+/-	Code	Description
20071004	(+)	FGA	LETTERS PATENT SEALED (STANDARD PATENT)



AU4726201A 20010912

(ENG) Click based trading with intuitive grid display of market depth

Assignee: TRADING TECH INT INC

[no drawing available]

Inventor(s): KEMP GARY ALLAN ; SCHLUETTER
JENS-UWE ; BRUMFIELD HARRIS

Application No: AU 4726201 D

Filing Date: 20010302

Issue/Publication Date: 20010912

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: US 18632200 20000302 P Y; US 59069200 20000609 A Y; US 0106792 20010302 W W N;

IPC (International Class): G06Q03000; G06F01700; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Legal Status: There is no Legal Status information available for this patent

AU9663501A 20020415

(ENG) Trading with display of market depth and price

Assignee: TRADING TECH INT INC US

[no drawing available]

Inventor(s): KEMP GARY ALLAN ; BRUMFIELD HARRIS

Application No: AU 9663501 D

Filing Date: 20011005

Issue/Publication Date: 20020415

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuate. This allows the trader to trade quickly and efficiently. The price consolidation feature of the present invention, as described herein, enables a trader to consolidate a number of prices in order to condense the display. Such action allows a trader to view a greater range of prices and a greater number of orders in the market at any given time. By consolidating prices, and therefore orders, a trader reduces the risk of a favorable order scrolling from the screen prior to filling a bid or ask on that order at a favorable price.

Priority Data: US 23800100 20001006 P Y; US 0131222 20011005 W W N;



IPC (International Class): G06Q03000; G06Q04000

ECLA (European Class): G06Q04000B

Legal Status: There is no Legal Status information available for this patent

BR0108857A 20030429

(POR) Negociação baseada em clique com exibição de grade intuitiva de perfuração do mercado

Assignee: TRADING TECH INT INC US

[no drawing available]

Inventor(s): KEMP GARY ALLAN ; SCHLUETTER
JENS-UWE ; BRUMFIELD HARRIS

Application No: BR 0108857 A

Filing Date: 20010302

Issue/Publication Date: 20030429

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: US 18632200 20000302 P Y; US 59069200 20000609 A Y; US 0106792 20010302 W W N;

IPC (International Class): G06Q03000; G06F01700; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Legal Status: There is no Legal Status information available for this patent



BR0114469A 20031230**(POR) Comercialização com exposição de profundidade e preço do mercado****Assignee:** TRADING TECH INT INC US

[no drawing available]

Inventor(s): KEMP GARY ALLAN II ; BRUMFIELD HARRIS**Application No:** BR 0114469 A**Filing Date:** 20011005**Issue/Publication Date:** 20031230

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuate. This allows the trader to trade quickly and efficiently. The price consolidation feature of the present invention, as described herein, enables a trader to consolidate a number of prices in order to condense the display. Such action allows a trader to view a greater range of prices and a greater number of orders in the market at any given time. By consolidating prices, and therefore orders, a trader reduces the risk of a favorable order scrolling from the screen prior to filling a bid or ask on that order at a favorable price.

Priority Data: US 23800100 20001006 P Y; US 0131222 20011005 W W N;**IPC (International Class):** G06Q03000; G06Q04000**ECLA (European Class):** G06Q04000B**Legal Status:** There is no Legal Status information available for this patent**CA2401664A1 20010907****(ENG) CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH****Assignee:** TRADING TECH INT INC US

[no drawing available]

Inventor(s): SCHLUETTER JENS-UWE US ; BRUMFIELD HARRIS US ; KEMP GARY ALLAN US**Application No:** CA 2401664 A**Filing Date:** 20010302**Issue/Publication Date:** 20010907

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuate. This allows the trader to trade quickly and efficiently.



Priority Data: US 18632200 20000302 P Y; US 59069200 20000609 A Y; US 0106792 20010302 W W N;

IPC (International Class): G06Q03000; G06F01700; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Publication Language: ENG

Legal Status:

Date	+/-	Code	Description
20020828	(+)	AFNE	NATIONAL PHASE ENTRY
20020828	(+)	EEER	EXAMINATION REQUEST
20030403	(+)	AFNE	NATIONAL PHASE ENTRY Effective date: 20020828;
20030403	(+)	AFNE	NATIONAL PHASE ENTRY Effective date: 20020828;
20030403	(+)	EEER	EXAMINATION REQUEST Effective date: 20020828;
20030403	(+)	EEER	EXAMINATION REQUEST Effective date: 20020828;

CA2425107A1 20020411

(ENG) TRADING WITH DISPLAY OF MARKET DEPTH AND PRICE

Assignee: TRADING TECH INT INC US

[no drawing available]

Inventor(s): BRUMFIELD HARRIS US ; KEMP GARY ALLAN II US

Application No: CA 2425107 A

Filing Date: 20011005

Issue/Publication Date: 20020411

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuate. This allows the trader to trade quickly and efficiently. The price consolidation feature of the present invention, as described herein, enables a trader to consolidate a number of prices in order to condense the display. Such action allows a trader to view a greater range of prices and a greater number of orders in the market at any given time. By consolidating prices, and therefore orders, a trader reduces the risk of a favorable order scrolling from the screen prior to filling a bid or ask on that order at a favorable price.

Priority Data: US 23800100 20001006 P Y; US 0131222 20011005 W W N;

IPC (International Class): G06Q03000; G06Q04000

ECLA (European Class): G06Q04000B

Publication Language: ENG

Legal Status:

Date	+/-	Code	Description
20030404	(+)	AFNE	NATIONAL PHASE ENTRY
20030404	(+)	EEER	EXAMINATION REQUEST



20030820	(+)	AFNE	NATIONAL PHASE ENTRY	Effective date: 20030404;
20030820	(+)	AFNE	NATIONAL PHASE ENTRY	Effective date: 20030404;
20030820	(+)	EEER	EXAMINATION REQUEST	Effective date: 20030404;
20030820	(+)	EEER	EXAMINATION REQUEST	Effective date: 20030404;

CA2493950A1 20031030**(ENG) TRADING TOOLS FOR ELECTRONIC TRADING****Assignee:** TRADING TECH INT INC US

[no drawing available]

Inventor(s): SCHLUETTER JENS-UWE US ; BRUMFIELD HARRIS US ; KEMP GARY ALLEN II US ; BURNS MICHAEL US ; WEST ROBERT A US ; SINGER SCOTT US**Application No:** CA 2493950 A**Filing Date:** 20030417**Issue/Publication Date:** 20031030**Abstract:** (ENG) Tools for trading and monitoring a commodity on an electronic exchange using a graphical user interface and a user input device. The tools will aid the trader in determining the status, trends in the market, and the trader's position in the market.**Priority Data:** US 12589402 20020419 A Y; US 40375703 20030331 A Y; US 0312201 20030417 W W N;**IPC (International Class):** G06Q03000; G06Q01000; G06Q04000; G06F01900**ECLA (European Class):** G06Q04000B**Publication Language:** ENG**Legal Status:**

Date	+/-	Code	Description	
20041018	(+)	AFNE	NATIONAL PHASE ENTRY	
20041018	(+)	EEER	EXAMINATION REQUEST	
20050324	(+)	AFNE	NATIONAL PHASE ENTRY	Effective date: 20041018;
20050324	(+)	AFNE	NATIONAL PHASE ENTRY	Effective date: 20041018;
20050324	(+)	EEER	EXAMINATION REQUEST	Effective date: 20041018;
20050324	(+)	EEER	EXAMINATION REQUEST	Effective date: 20041018;



CA2517406A1 20040916

**(ENG) A SYSTEM AND METHOD FOR TRADING AND
DISPLAYING MARKET INFORMATION IN AN
ELECTRONIC TRADING ENVIRONMENT**

[no drawing available]

Assignee: TRADING TECH INT INC US

Inventor(s): BRUMFIELD HARRIS US ; BORSAND
STEVEN F US ; TRIPLETT MARK W US

Application No: CA 2517406 A

Filing Date: 20040227

Issue/Publication Date: 20040916

Abstract: (ENG) A system and method for trading and displaying market information along a static axis are described to ensure fast and accurate execution of trades. The static axis, whether is a straight axis or a curved one, can be oriented in any direction. Regardless of how the axis is oriented, a first region may display price levels that are arranged along the static axis. A second region, which overlaps the first region, may display one or more indicators for highlighting one of the price levels associated with the lowest offer and one of the price levels associated with the highest bid. Moreover, a third region, which overlaps the first region, may be included for initiating placement of an order to buy or an order to sell the tradeable object through an action of a user input device. Other overlapping regions may also be displayed so that additional market information may be viewed by a trader.

Priority Data: US 37641703 20030228 A Y; US 2004005911 20040227 W W N;

IPC (International Class): G06F00314; G06F00100; G06Q04000

ECLA (European Class): G06Q04000B

Publication Language: ENG

Legal Status:

Date	+/-	Code	Description
20050826	(+)	AFNE	NATIONAL PHASE ENTRY
20050826	(+)	EEER	EXAMINATION REQUEST



CN100454286C 20090121
CN1608261A 20050420

(ENG) Click based trading with intuitive grid display of market depth

Assignee: TRADING TECH INT INC US

[no drawing available]

Inventor(s): ALLAN KEMP GARY US ; HARRIS
 BRUMFIELD US

Application No: CN 01807416 A

Filing Date: 20010302

Issue/Publication Date: 20090121

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: US 18632200 20000302 P Y; US 59069200 20000609 A Y;

IPC (International Class): G06F01700; G06Q03000; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Publication Language: ENG

Legal Status:

Date	+/-	Code	Description
20090420	()	C00	

CN1474988A 20040211

(ENG) Trading with display of market depth and price

Assignee: TRADE TECHNOLOGY INTERNAT CO US

[no drawing available]

Inventor(s): KEMP GARY A US ; BRUMFIELD HARIS US

Application No: CN 01819039 A

Filing Date: 20011005

Issue/Publication Date: 20040211

Abstract: NotAvailable

Priority Data: US 23800100 20001006 P;

IPC (International Class): G06F01760

ECLA (European Class): G06Q04000B

Legal Status:

Date	+/-	Code	Description
20040211	()	C00	



CN1659570A 20050824**(ENG) Trading tools for electronic trading****Assignee:** TRADING TECH INT INC US

[no drawing available]

Inventor(s): JENS-UWE SCHLUETTER US ; HARRIS
BRUMFIELD US ; ALLEN KEMP GARY II US ;
MICHAEL BURNS US ; WEST ROBERT A US ;
SCOTT SINGER US**Application No:** CN 03813646 A**Filing Date:** 20030417**Issue/Publication Date:** 20050824**Abstract:** (ENG) Tools for trading and monitoring a commodity on an electronic exchange using a graphical user interface and a user input device. The tools will aid the trader in determining the status, trends in the market, and the trader's position in the market.**Priority Data:** US 12589402 20020419 A Y; US 40375703 20030331 A Y;**IPC (International Class):** G06Q03000; G06Q01000; G06Q04000; G06F01900**ECLA (European Class):** G06Q04000B**Legal Status:**

Date	+/-	Code	Description
20050824	Q	C00	

CN101430784A 20090513**(ENG) Click based trading with intuitive grid display of market depth****Assignee:** TRADING TECH INT INC US

[no drawing available]

Inventor(s): ALLAN KEMP GARY US ; HARRIS
BRUMFIELD US**Application No:** CN 200810181726 A**Filing Date:** 20010302**Issue/Publication Date:** 20090513**Abstract:** (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.**Priority Data:** US 18632200 20000302 P Y;**IPC (International Class):** G06Q03000; G06Q04000**Publication Language:** ENG**Legal Status:**

Date	+/-	Code	Description



20090308 () ~~REG~~ Corresponding country code for PRS Code (EP REG): HK;
 Corresponding EP Code 1 for PRS Code (EP REG): DE;
 Corresponding patent document: 1130926; Country code of
 corresponding patent document: HK;

DE60110097D1 20050519

**(GER) MAUS-GESTEURTER BOERSENHANDEL MIT
 INTUITIVER RASTERANZEIGE DER MARKT-TIEFE**

Assignee: TRADING TECH INT INC US

[no drawing available]

Inventor(s): KEMP ALLAN US ; SCHLUETTER JENS-UWE
 US ; BRUMFIELD HARRIS US

Application No: DE 60110097 A

Filing Date: 20010302

Issue/Publication Date: 20050519

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: US 18632200 20000302 P Y; US 59069200 20000609 A Y; US 0106792 20010302 W W N;

IPC (International Class): G06Q03000; G06F01700; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Legal Status:

Date	+/-	Code	Description
20060504	(-)	8363	OPPOSITION AGAINST THE PATENT



DE60110097T2 20050908**(GER) Maus-Gesteuerter Boersenhandel mit intuitiver Rasteranzeige der Markt-Tiefe****Assignee:** TRADING TECH INT INC US

[no drawing available]

Inventor(s): KEMP ALLAN US ; SCHLUETTER JENS-UWE US ; BRUMFIELD HARRIS US**Application No:** DE 60110097 T**Filing Date:** 20010302**Issue/Publication Date:** 20050908**Abstract:** (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.**Priority Data:** US 18632200 20000302 P Y; US 59069200 20000609 A Y; US 0106792 20010302 W W N;**IPC (International Class):** G06Q03000; G06F01700; G06Q04000**ECLA (European Class):** G06Q03000C4; G06Q04000B**Legal Status:**

Date	+/-	Code	Description
20060504	(-)	8363	OPPOSITION AGAINST THE PATENT

DK1319211T3 20050808**(DAN) Klikbaseret handel med intuitiv gittervisning af markedsdybde****Assignee:** TRADING TECH INT INC US

[no drawing available]

Inventor(s): SCHLUETTER JENS-UWE US ; KEMP GARY ALLAN US ; BRUMFIELD HARRIS US**Application No:** DK 01920183 T**Filing Date:** 20010302**Issue/Publication Date:** 20050808**Abstract:** NotAvailable**Priority Data:** EP 01920183 20010302 A Y;**IPC (International Class):** G06F01700**Legal Status:** There is no Legal Status information available for this patent

EP1319211B1 20050413
EP1319211A2 20030618

(ENG) CLICK BASED TRADING WITH INTUITIVE GRID
DISPLAY OF MARKET DEPTH

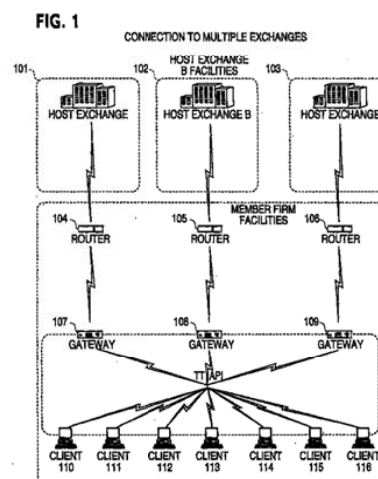
Assignee: TRADING TECH INT INC US

Inventor(s): KEMP GARY ALLAN US ; SCHLUETTER
JENS-UWE US ; BRUMFIELD HARRIS US

Application No: EP 01920183 A

Filing Date: 20010302

Issue/Publication Date: 20050413



Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: US 0106792 20010302 W W N; US 18632200 20000302 P Y; US 59069200 20000609 A Y;

Related Application(s): ; ;

IPC (International Class): G06Q03000; G06F01700; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Designated Countries:

Publication Language: ENG

Filing Language: ENG

Agent(s): Walaski, Jan Filip Venner Shipley LLP, 20 Little Britain, London EC1A 7DH, GB GB

Legal Status:

Date	+/-	Code	Description
20050413	(+)	AK	DESIGNATED CONTRACTING STATES: Kind code of corresponding patent document: B1; List of designated states: AT BE CH CY DE DK ES FI FR GR IE IT LI LU MC NL PT SE TR;
20050415	()	REG	REFERENCE TO A NATIONAL CODE Corresponding country code for PRS Code (EP REG): CH; Corresponding EP Code 1 for PRS Code (EP REG): EP;
20050518	()	REG	REFERENCE TO A NATIONAL CODE Corresponding country code for PRS Code (EP REG): IE; Corresponding EP Code 1 for PRS Code (EP REG): FG4D;
20050519	()	REF	CORRESPONDS TO: Corresponding patent document: 60110097; Country code of corresponding patent document: DE; Publication date of corresponding patent document: 20050519; Kind code of corresponding patent document: P;
20050729	()	REG	REFERENCE TO A NATIONAL CODE Corresponding country code for PRS Code (EP REG): CH; Corresponding EP Code 1 for PRS Code (EP REG): NV; Representative's name: JACOBACCI & PARTNERS S.P.A.;



20050808	()	REG	REFERENCE TO A NATIONAL CODE Corresponding country code for PRS Code (EP REG): DK; Corresponding EP Code 1 for PRS Code (EP REG): T3;
20050831	()	REG	REFERENCE TO A NATIONAL CODE Corresponding country code for PRS Code (EP REG): PT; Corresponding EP Code 1 for PRS Code (EP REG): SC4A; Effective date: 20050706;
20051016	()	REG	REFERENCE TO A NATIONAL CODE Corresponding country code for PRS Code (EP REG): ES; Corresponding EP Code 1 for PRS Code (EP REG): FG2A; Corresponding patent document: 2240442; Kind code of corresponding patent document: T3;
20060308	(-)	26	OPPOSITION FILED Opponent name: ROSENTHAL COLLINS GROUP, LLC; Effective date: 20060112;
20060308	(-)	26	OPPOSITION FILED Opponent name: DEUTSCHE BOERSE AG; Effective date: 20060112;
20060308	(-)	26	OPPOSITION FILED Opponent name: TICK-IT GMBH; Effective date: 20060113;
20060308	(-)	26	OPPOSITION FILED Opponent name: ANITRA MEDIENPROJEKTE GMBH; Effective date: 20060113;
20060308	(-)	26	OPPOSITION FILED Opponent name: ECCOWARE LIMITED; Effective date: 20060113;
20060309	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): CY; Payment date: 20060309; Year of fee payment: 06;
20060310	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): GR; Payment date: 20060310; Year of fee payment: 06;
20060310	()	PGFP	Corresponding country code for PRS Code (EP REG): GR; Payment date: 20060310; Year of fee payment: 06;
20060313	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): FR; Payment date: 20060313; Year of fee payment: 06;
20060313	()	PGFP	Corresponding country code for PRS Code (EP REG): FR; Payment date: 20060313; Year of fee payment: 06;
20060314	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): TR; Payment date: 20060314; Year of fee payment: 06;
20060314	()	PGFP	Corresponding country code for PRS Code (EP REG): TR; Payment date: 20060314; Year of fee payment: 06;
20060317	(+)	ET	FR: TRANSLATION FILED
20060320	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): BE; Payment date: 20060320; Year of fee payment: 06;
20060320	()	PGFP	Corresponding country code for PRS Code (EP REG): BE; Payment date: 20060320; Year of fee payment: 06;
20060331	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): IT; Payment date: 20060331; Year of fee payment: 06;
20060331	()	PGFP	Corresponding country code for PRS Code (EP REG): IT; Payment date: 20060331; Year of fee payment: 06;
20060501	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: ROSENTHAL COLLINS GROUP, LLC;
20060501	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: DEUTSCHE BOERSE AG;



20060501	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: TICK-IT GMBH;
20060501	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: ANITRA MEDIENPROJEKTE GMBH;
20060501	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: ECCOWARE LIMITED;
20060607	(-)	R26	OPPOSITION FILED (CORRECTION) Opponent name: ROSENTHAL COLLINS GROUP LLC (US)/PEREGRINE F; Effective date: 20060112;
20060607	(-)	R26	OPPOSITION FILED (CORRECTION) Opponent name: DEUTSCHE BOERSE AG; Effective date: 20060112;
20060607	(-)	R26	OPPOSITION FILED (CORRECTION) Opponent name: TICK-IT GMBH; Effective date: 20060113;
20060607	(-)	R26	OPPOSITION FILED (CORRECTION) Opponent name: ANITRA MEDIENPROJEKTE GMBH; Effective date: 20060113;
20060607	(-)	R26	OPPOSITION FILED (CORRECTION) Opponent name: ECCOWARE LIMITED; Effective date: 20060113;
20060801	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: ROSENTHAL COLLINS GROUP LLC (US)/PEREGRINE FINANCI;
20060801	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: DEUTSCHE BOERSE AG;
20060801	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: TICK-IT GMBH;
20060801	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: ANITRA MEDIENPROJEKTE GMBH;
20060801	(-)	NLR1	NL: OPPOSITION HAS BEEN FILED WITH THE EPO Opponent name: ECCOWARE LIMITED;
20070221	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): AT; Payment date: 20070221; Year of fee payment: 07;
20070221	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): MC; Payment date: 20070221; Year of fee payment: 07;
20070221	()	PGFP	Corresponding country code for PRS Code (EP REG): AT; Payment date: 20070221; Year of fee payment: 07;
20070221	()	PGFP	Corresponding country code for PRS Code (EP REG): MC; Payment date: 20070221; Year of fee payment: 07;
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20070228	()	PGFP	Corresponding country code for PRS Code (EP REG): PT; Payment date: 20070228; Year of fee payment: 07;
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20070324	()	PGFP	Corresponding country code for PRS Code (EP REG): NL; Payment date: 20070324; Year of fee payment: 07;
20070326	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): ES; Payment date: 20070326; Year of fee payment: 07;
20070326	()	PGFP	Corresponding country code for PRS Code (EP REG): ES; Payment date: 20070326; Year of fee payment: 07;



20070327	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): IE; Payment date: 20070327; Year of fee payment: 07;
20070327	()	PGFP	Corresponding country code for PRS Code (EP REG): IE; Payment date: 20070327; Year of fee payment: 07;
20070328	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): CH; Payment date: 20070328; Year of fee payment: 07;
20070328	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): SE; Payment date: 20070328; Year of fee payment: 07;
20070328	()	PGFP	Corresponding country code for PRS Code (EP REG): CH; Payment date: 20070328; Year of fee payment: 07;
20070328	()	PGFP	Corresponding country code for PRS Code (EP REG): SE; Payment date: 20070328; Year of fee payment: 07;
20070329	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): DK; Payment date: 20070329; Year of fee payment: 07;
20070329	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): FI; Payment date: 20070329; Year of fee payment: 07;
20070329	()	PGFP	Corresponding country code for PRS Code (EP REG): DK; Payment date: 20070329; Year of fee payment: 07;
20070329	()	PGFP	Corresponding country code for PRS Code (EP REG): FI; Payment date: 20070329; Year of fee payment: 07;
20070403	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): DE; Payment date: 20070403; Year of fee payment: 07;
20070403	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): LU; Payment date: 20070403; Year of fee payment: 07;
20070403	()	PGFP	Corresponding country code for PRS Code (EP REG): DE; Payment date: 20070403; Year of fee payment: 07;
20070403	()	PGFP	Corresponding country code for PRS Code (EP REG): LU; Payment date: 20070403; Year of fee payment: 07;
20071124	(-)	PG25	LAPSED IN A CONTRACTING STATE ANNOUNCED VIA POSTGRANT INFORM. FROM NAT. OFFICE TO EPO Corresponding country code for PRS Code (EP REG): CY; ; LAPSE BECAUSE OF NON-PAYMENT OF DUE FEES; Effective date: 20070302;
20071124	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): TR; Payment date: 20070301; Year of fee payment: 07;
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20080102	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): BE; Payment date: 20070430; Year of fee payment: 07;
20080102	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): IT; Payment date: 20070517; Year of fee payment: 07;
20080102	()	PGFP	Corresponding country code for PRS Code (EP REG): BE; Payment date: 20070430; Year of fee payment: 07;



20080102	()	PGFP	Corresponding country code for PRS Code (EP REG): IT; Payment date: 20070517; Year of fee payment: 07;
20080131	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): SE; Payment date: 20060309; Year of fee payment: 06;
20080131	()	PGFP	Corresponding country code for PRS Code (EP REG): SE; Payment date: 20060309; Year of fee payment: 06;
20080331	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): GR; Payment date: 20070329; Year of fee payment: 07;
20080331	()	PGFP	Corresponding country code for PRS Code (EP REG): GR; Payment date: 20070329; Year of fee payment: 07;
20080430	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): CH; Payment date: 20080328; Year of fee payment: 08;
20080430	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): ES; Payment date: 20080326; Year of fee payment: 08;
20080430	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): FR; Payment date: 20070319; Year of fee payment: 07;
20080430	()	PGFP	Corresponding country code for PRS Code (EP REG): FR; Payment date: 20070319; Year of fee payment: 07;
20080430	()	PGFP	Corresponding country code for PRS Code (EP REG): ES; Payment date: 20080326; Year of fee payment: 08;
20080430	()	PGFP	Corresponding country code for PRS Code (EP REG): CH; Payment date: 20080328; Year of fee payment: 08;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): FI; Payment date: 20080328; Year of fee payment: 08;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): GR; Payment date: 20070329; Year of fee payment: 07;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): IE; Payment date: 20080325; Year of fee payment: 08;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): IT; Payment date: 20080326; Year of fee payment: 08;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): MC; Payment date: 20080220; Year of fee payment: 08;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): NL; Payment date: 20080324; Year of fee payment: 08;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): PT; Payment date: 20080219; Year of fee payment: 08;
20080530	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): SE; Payment date: 20080327; Year of fee payment: 08;
20080530	()	PGFP	Corresponding country code for PRS Code (EP REG): GR; Payment date: 20070329; Year of fee payment: 07;



20080530	()	PGFP	Corresponding country code for PRS Code (EP REG): IE; Payment date: 20080325; Year of fee payment: 08;
20080530	()	PGFP	Corresponding country code for PRS Code (EP REG): FI; Payment date: 20080328; Year of fee payment: 08;
20080530	()	PGFP	Corresponding country code for PRS Code (EP REG): NL; Payment date: 20080324; Year of fee payment: 08;
20080530	()	PGFP	Corresponding country code for PRS Code (EP REG): PT; Payment date: 20080219; Year of fee payment: 08;
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20080530	()	PGFP	Corresponding country code for PRS Code (EP REG): MC; Payment date: 20080220; Year of fee payment: 08;
20080630	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): AT; Payment date: 20080220; Year of fee payment: 08;
20080630	()	PGFP	Corresponding country code for PRS Code (EP REG): AT; Payment date: 20080220; Year of fee payment: 08;
20080731	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): FR; Payment date: 20080317; Year of fee payment: 08;
20080731	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): LU; Payment date: 20080401; Year of fee payment: 08;
20080731	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): DE; Payment date: 20080430; Year of fee payment: 08;
20080731	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): DK; Payment date: 20080331; Year of fee payment: 08;
20080731	()	PGFP	Corresponding country code for PRS Code (EP REG): DK; Payment date: 20080331; Year of fee payment: 08;
20080731	()	PGFP	Corresponding country code for PRS Code (EP REG): LU; Payment date: 20080401; Year of fee payment: 08;
20080731	()	PGFP	Corresponding country code for PRS Code (EP REG): DE; Payment date: 20080430; Year of fee payment: 08;
20080731	()	PGFP	Corresponding country code for PRS Code (EP REG): FR; Payment date: 20080317; Year of fee payment: 08;
20080930	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): BE; Payment date: 20080410; Year of fee payment: 08;
20080930	(+)	PGFP	POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE Corresponding country code for PRS Code (EP REG): TR; Payment date: 20080221; Year of fee payment: 08;
20080930	()	PGFP	Corresponding country code for PRS Code (EP REG): TR; Payment date: 20080221; Year of fee payment: 08;
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20081217	()	R26	Opponent name: ROSENTHAL COLLINS GROUP LLC (US) /; Effective date: 20060112;
20081217	()	R26	Opponent name: DEUTSCHE BOERSE AG; Effective date: 20060112;



20081217	()	R26	Opponent name: TICK TRADING SOFTWARE AKTIENGESELLSCHAFT; Effective date: 20060113;
20081217	()	R26	Opponent name: ANITRA MEDIENPROJEKTE GMBH; Effective date: 20060113;
20081217	()	R26	Opponent name: ECCOWARE LIMITED; Effective date: 20060113;
20090227	()	PGFP	Corresponding country code for PRS Code (EP REG): GR; Payment date: 20080328; Year of fee payment: 08;
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20090430	()	PGFP	Corresponding country code for PRS Code (EP REG): ES; Payment date: 20090326; Year of fee payment: 09;
20090430	()	PGFP	Corresponding country code for PRS Code (EP REG): IE; Payment date: 20090325; Year of fee payment: 09;
20090529	()	PGFP	Corresponding country code for PRS Code (EP REG): FI; Payment date: 20090330; Year of fee payment: 09;
20090529	()	PGFP	Corresponding country code for PRS Code (EP REG): NL; Payment date: 20090324; Year of fee payment: 09;
20090529	()	PGFP	Corresponding country code for PRS Code (EP REG): PT; Payment date: 20090220; Year of fee payment: 09;
20090630	()	PGFP	Corresponding country code for PRS Code (EP REG): CH; Payment date: 20090325; Year of fee payment: 09;
20090630	()	PGFP	Corresponding country code for PRS Code (EP REG): GR; Payment date: 20090330; Year of fee payment: 09;
20090831	()	PGFP	Corresponding country code for PRS Code (EP REG): DE; Payment date: 20090327; Year of fee payment: 09;
20090831	()	PGFP	Corresponding country code for PRS Code (EP REG): IT; Payment date: 20090327; Year of fee payment: 09;
20090831	()	PGFP	Corresponding country code for PRS Code (EP REG): LU; Payment date: 20090401; Year of fee payment: 09;
20090831	()	PGFP	Corresponding country code for PRS Code (EP REG): SE; Payment date: 20090327; Year of fee payment: 09;
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20090930	()	PGFP	Corresponding country code for PRS Code (EP REG): MC; Payment date: 20090218; Year of fee payment: 09;
20090930	()	PGFP	Corresponding country code for PRS Code (EP REG): BE; Payment date: 20090430; Year of fee payment: 09;
20091030	()	PGFP	Corresponding country code for PRS Code (EP REG): FR; Payment date: 20090317; Year of fee payment: 09;
20091030	()	PGFP	Corresponding country code for PRS Code (EP REG): TR; Payment date: 20090225; Year of fee payment: 09;

EP1332454A4 20060614
EP1332454A1 20030806

**(ENG) TRADING WITH DISPLAY OF MARKET DEPTH
 AND PRICE**

Assignee: TRADING TECH INT INC US

[no drawing available]

Inventor(s): KEMP GARY ALLAN II US ; BRUMFIELD
 HARRIS US

Application No: EP 01977522 A

Filing Date: 20011005

Issue/Publication Date: 20060614

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuate. This allows the trader to trade quickly and efficiently. The price consolidation feature of the present invention, as described herein, enables a trader to consolidate a number of prices in order to condense the display. Such action allows a trader to view a greater range of prices and a greater number of orders in the market at any given time. By consolidating prices, and therefore orders, a trader reduces the risk of a favorable order scrolling from the screen prior to filling a bid or ask on that order at a favorable price.

Priority Data: US 0131222 20011005 W W N; US 23800100 20001006 P Y;

IPC (International Class): G06Q03000; G06Q04000

ECLA (European Class): G06Q04000B

Designated Countries:

Publication Language: ENG

Filing Language: ENG

Legal Status:

Date	+/-	Code	Description
20030806	(+)	17P	REQUEST FOR EXAMINATION FILED Effective date: 20030403;
20030806	(+)	AK	DESIGNATED CONTRACTING STATES: List of designated states: AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE TR;
20030806	(+)	AX	EXTENSION OF THE EUROPEAN PATENT TO List of countries concerned with an event: AL LT LV MK RO SI;
20040709	()	REG	Corresponding country code for PRS Code (EP REG): HK; Corresponding EP Code 1 for PRS Code (EP REG): DE; Corresponding patent document: 1059657; Country code of corresponding patent document: HK;
20060614	(+)	A4	SUPPLEMENTARY SEARCH REPORT Effective date: 20060512;
20060830	(+)	17Q	FIRST EXAMINATION REPORT Effective date: 20060731;



EP1497774A4 20060607
EP1497774A2 20050119

(ENG) TRADING TOOLS FOR ELECTRONIC TRADING

Assignee: TRADING TECH INT INC US

[no drawing available]

Inventor(s): KEMP GARY ALLEN II US ; SCHLUETTER
 JENS-UWE US ; BRUMFIELD HARRIS US ;
 BURNS MICHAEL US ; WEST ROBERT A US ;
 SINGER SCOTT US

Application No: EP 03726366 A

Filing Date: 20030417

Issue/Publication Date: 20060607

Abstract: (ENG) Tools for trading and monitoring a commodity on an electronic exchange using a graphical user interface and a user input device. The tools will aid the trader in determining the status, trends in the market, and the trader's position in the market.

Priority Data: US 0312201 20030417 W W N; US 12589402 20020419 A Y; US 40375703 20030331 A Y;

IPC (International Class): G06Q03000; G06Q01000; G06Q04000; G06F01900

ECLA (European Class): G06Q04000B

Designated Countries:

Publication Language: ENG

Filing Language: ENG

Legal Status:

Date	+/-	Code	Description
20050930	()	REG	Corresponding country code for PRS Code (EP REG): HK; Corresponding EP Code 1 for PRS Code (EP REG): DE; Corresponding patent document: 1073366; Country code of corresponding patent document: HK;
20060607	(+)	A4	SUPPLEMENTARY SEARCH REPORT Effective date: 20060428;



EP1531414A1 20050518

(ENG) A method and device for facilitating trading

Assignee: TRADING TECH INT INC US

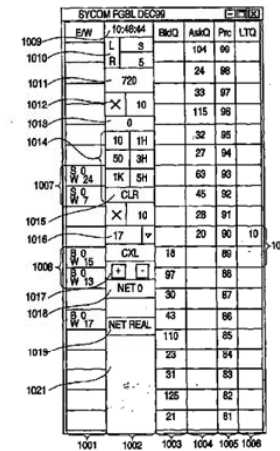
Inventor(s): KEMP GARY ALLAN US ; SCHLUETTER JENS-UWE US ; BRUMFIELD HARRIS US

Application No: EP 04105905 A

Filing Date: 20010302

Issue/Publication Date: 20050518

FIG. 3



Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: EP 01920183 20010302 A 3 Y; US 18632200 20000302 P Y; US 59069200 20000609 A Y;

Related Application(s): 01920183.9 1319211 20010302

IPC (International Class): G06Q04000; G06F003033

ECLA (European Class): G06Q04000B

Designated Countries:

Publication Language: ENG

Filing Language: ENG

Agent(s): Walaski, Jan Filip et al 00092081

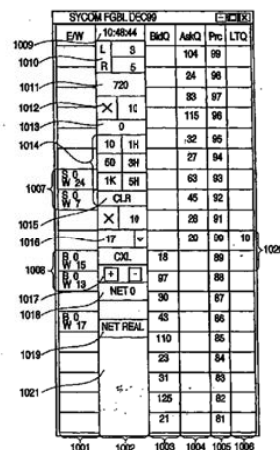
Venner Shipley LLP 20 Little Britain London EC1A 7DH

Legal Status:

Date	+/-	Code	Description
20050518	(+)	17P	REQUEST FOR EXAMINATION FILED Effective date: 20041118;
20050518	()	AC	DIVISIONAL APPLICATION (ART. 76) OF: Corresponding patent document: 1319211; Country code of corresponding patent document: EP; Kind code of corresponding patent document: P;
20050518	(+)	AK	DESIGNATED CONTRACTING STATES: Kind code of corresponding patent document: A1; List of designated states: AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE TR;
20060208	(+)	AKX	PAYMENT OF DESIGNATION FEES List of designated states: AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE TR;
20060407	()	REG	Corresponding country code for PRS Code (EP REG): HK; Corresponding EP Code 1 for PRS Code (EP REG): DE; Corresponding patent document: 1079582; Country code of corresponding patent document: HK;



20070808 (+) 17Q FIRST EXAMINATION REPORT Effective date: 20070705;

EP1531415A1 20050518**(ENG) A device and method for facilitating trading having a recentering function****Assignee:** TRADING TECH INT INC US**Inventor(s):** KEMP GARY ALLAN US ; SCHLUETTER JENS-UWE US ; BRUMFIELD HARRIS US**Application No:** EP 04105906 A**Filing Date:** 20010302**Issue/Publication Date:** 20050518**FIG. 3**

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: EP 01920183 20010302 A 3 Y; US 59069200 20000609 A Y; US 18632200 20000302 P Y;**Related Application(s):** 01920183.9 1319211 20010302**IPC (International Class):** G06Q04000; G06F003033**ECLA (European Class):** G06Q04000B**Designated Countries:****Publication Language:** ENG**Filing Language:** ENG**Agent(s):** Walaski, Jan Filip et al 00092081

Venner Shipley LLP 20 Little Britain London EC1A 7DH

Legal Status:

Date	+/-	Code	Description
20050518	(+)	17P	REQUEST FOR EXAMINATION FILED Effective date: 20041118;
20050518	()	AC	DIVISIONAL APPLICATION (ART. 76) OF: Corresponding patent document: 1319211; Country code of corresponding patent document: EP; Kind code of corresponding patent document: P;
20050518	(+)	AK	DESIGNATED CONTRACTING STATES: Kind code of corresponding patent document: A1; List of designated states: AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE TR;
20060208	(+)	AKX	PAYMENT OF DESIGNATION FEES List of designated states: AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE TR;



20060407	()	REG	Corresponding country code for PRS Code (EP REG): HK; Corresponding EP Code 1 for PRS Code (EP REG): DE; Corresponding patent document: 1079583; Country code of corresponding patent document: HK;
20070808	(+)	17Q	FIRST EXAMINATION REPORT Effective date: 20070705;

EP1597651A4 20061115
EP1597651A2 20051123

**(ENG) A SYSTEM AND METHOD FOR TRADING AND
DISPLAYING MARKET INFORMATION IN AN
ELECTRONIC TRADING ENVIRONMENT**

[no drawing available]

Assignee: TRADING TECH INT INC US

Inventor(s): BRUMFIELD HARRIS US ; BORSAND
STEVEN F US ; TRIPLETT MARK W US

Application No: EP 04715682 A

Filing Date: 20040227

Issue/Publication Date: 20061115

Abstract: (ENG) A system and method for trading and displaying market information along a static axis are described to ensure fast and accurate execution of trades. The static axis, whether is a straight axis or a curved one, can be oriented in any direction. Regardless of how the axis is oriented, a first region may display price levels that are arranged along the static axis. A second region, which overlaps the first region, may display one or more indicators for highlighting one of the price levels associated with the lowest offer and one of the price levels associated with the highest bid. Moreover, a third region, which overlaps the first region, may be included for initiating placement of an order to buy or an order to sell the tradeable object through an action of a user input device. Other overlapping regions may also be displayed so that additional market information may be viewed by a trader.

Priority Data: US 2004005911 20040227 W W N; US 37641703 20030228 A Y;

IPC (International Class): G06F00314; G06F00100; G06Q04000

ECLA (European Class): G06Q04000B

Designated Countries:

Publication Language: ENG

Filing Language: ENG

Legal Status:

Date	+/-	Code	Description
20060728	()	REG	Corresponding country code for PRS Code (EP REG): HK; Corresponding EP Code 1 for PRS Code (EP REG): DE; Corresponding patent document: 1084462; Country code of corresponding patent document: HK;
20061115	(+)	A4	SUPPLEMENTARY SEARCH REPORT Effective date: 20061018;



ES2240442T3 20051016

**(SPA) TRANSACION BASADA EN UN CLIC CON
VISUALIZACION INTUITIVA DE RED DE PENETRACION
DE MERCADO.**

[no drawing available]

Assignee: TRADING TECH INT INC

Inventor(s): KEMP GARY ALLAN US ; SCHLUETTER
JENS-UWE US ; BRUMFIELD HARRIS US

Application No: ES 01920183 T

Filing Date: 20010302

Issue/Publication Date: 20051016

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.

Priority Data: US 18632200 20000302 P Y; US 59069200 20000609 A Y;

IPC (International Class): G06Q03000; G06F01700; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Publication Language: SPA

Legal Status: There is no Legal Status information available for this patent

GB2377527B 20041027**GB2377527A 20030115****GB0219306D0 20020925**

**(ENG) Click based trading with intuitive grid display of market
depth**

Assignee: TRADING TECHNOLOGIES INTERNAT US

[no drawing available]

Inventor(s): KEMP GARY ALLAN US ; SCHLUETTER
JENS-UWE US ; BRUMFIELD HARRIS US

Application No: GB 0219306 A

Filing Date: 20010302

Issue/Publication Date: 20041027

Abstract: (ENG) A method and system for reducing the time it takes for a trader to place a trade when electronically trading on an exchange, thus increasing the likelihood that the trader will have orders filled at desirable prices and quantities. The "Mercury" display and trading method of the present invention ensure fast and accurate execution of trades by displaying market depth on a vertical or horizontal plane, which fluctuates logically up or down, left or right across the plane as the market prices fluctuates. This allows the trader to trade quickly and efficiently.



Priority Data: US 0106792 20010302 W W N; US 18632200 20000302 P Y; US 59069200 20000609 A Y;

IPC (International Class): G06Q03000; G06F01700; G06Q04000

ECLA (European Class): G06Q03000C4; G06Q04000B

Legal Status: There is no Legal Status information available for this patent

GB2390451B 20041027
GB2390451A 20040107
GB0314601D0 20030730

(ENG) Click based trading with intuitive grid display of market depth

Assignee: TRADING TECHNOLOGIES INTERNAT US

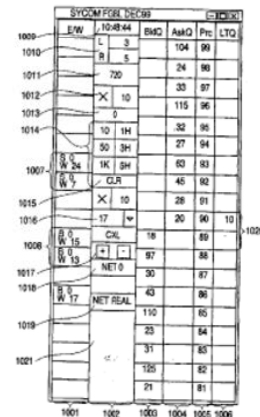
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FIG. 3



Abstract: NotAvailable

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