

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

**IBG LLC, INTERACTIVE BROKERS LLC, TRADESTATION
GROUP, INC., TRADESTATION SECURITIES, INC.,**

Petitioners,

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.,

Patent Owner.

**Case CBM2016-00054
U.S. Patent 7,693,768 B2**

DECLARATION OF JAY KNOBLOCH

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I, Jay Knobloch, declare as follows:

I. INTRODUCTION & BACKGROUND

1. I currently serve as the Director of Intellectual Property (“IP”) Licensing and Litigation for Trading Technologies International, Inc. (“TT”). In this role, I oversee TT’s licensing of its IP assets and assist in the management of all aspects of TT’s IP litigation matters. Prior to my role as Director, I served as Patent Counsel at TT from February 2010 until February 2012.

2. Before joining TT, I was employed by Brinks Hofer Gilson and Lione LLP, an IP law firm located in Chicago, Illinois, as a patent agent starting in February 2005. Upon completion of my law degree from DePaul University College of Law in December 2007, I transitioned into my role as a patent attorney at Brinks Hofer until deciding to join TT. Prior to law school, I attended Arizona State University and graduated in 2003 with a degree in electrical engineering.

II. PATENT LICENSING

3. As I noted above, a portion of my role at TT involves overseeing the licensing of TT’s IP assets, including the licensing of TT’s patents. Though I was not employed by TT until 2010, I am knowledgeable regarding TT’s licenses dating back to 2004, and in particular those relating to the technology claimed in the patents-in-suit.

4. After U.S. Patent Nos. 6,766,304 and 6,772,132 issued in July and August of 2004, a number of companies in the industry were already copying TT's MD Trader screen, which embodied the technology claimed in these patents. All versions of the MD Trader screen from the launch date in 2000 to the present time embody the technology claimed in U.S. Patent No. 7,693,768. Specifically, MD Trader has always included the following features that are set forth in claim 1 of the '768 patent: receives market data comprising bid and offer prices relating to a commodity from the exchange; dynamically displays a first indicator in one of a plurality of areas in a bid display region, with each area corresponding to a price level along a price axis; dynamically displays a second indicator in one of a plurality of areas in an ask display region, with each area corresponding to a price level along a price axis; displays an order entry region comprising a plurality of fixed locations for receiving single action commands to both set a plurality of parameter for the trade order and send the order to the exchange; whereas a first fixed location of the order entry region is associated with a first price level of the highest bid price at a first time, and remains associated with the first price level even if the market changes and there is a new highest bid price; whereas a second fixed location of the order entry region is associated with a second price level of the lowest ask price at a first time, and remains associated with the second price level even if the market changes and there is a new lowest ask price; updates the

displayed market information (bid and offer indicators) such that the bids and offer indicators move relative to the price axis in response to receipt of new market information; and single action order entry that sets a plurality of parameters for a trade order relating to a commodity and sends a trade order to the exchange

5. In an effort to protect its IP assets, TT entered into numerous types of deals with respect to patents that cover MD_Trader and its functionality, including the ‘304 and ‘132 patents, and continuation patents (such as the ‘768 patent), as can be seen in the demonstrative used at the CQG trial shown below:

Settlement & License Agreements				
Company	Agrmt. date	PTX#	Lawsuit	Royalty rates
Goldenberg Hehmyer & Co.	09/29/04	PTX1334	✓	\$0.10 per trade/\$0.05 (1 st year)
Kingstree Trading, LLC	10/20/04	PTX1335	✓	\$0.10 per trade/\$0.05 (1 st year)
Patsystems, PLC	05/19/05	PTX1338	✓	\$0.10 per trade (\$50 mo. min./user)
NinjaTrader, LLC	07/07/05	PTX1336	✓	\$0.10 per trade (\$50 mo. min./user)
RTS Realtime Systems AG	07/28/05	PTX1342	✓	
Strategy Runner, Ltd.	07/29/05	PTX1344	✓	\$0.10 per trade (\$50 mo. min./user)
Rolfe & Nolan Systems, Inc.	08/01/05	PTX1343	✓	
FFastFill, PLC	08/03/05	PTX1345	✓	
TransMarket Group, LLC	09/09/05	PTX1346	✓	\$0.10 per trade
Orc Software AB	10/31/05	PTX1347	✓	
NYFIX, Inc.	11/11/05	PTX1339	✓	
Man Group, PLC	11/21/05	PTX1337	✓	
Advantage Futures, LLC	03/03/06	PTX1348		
Peregrine Financial Group, Inc.	03/15/06	PTX1340	✓	
TradeMaven Group, LLC	03/15/06	PTX1341	✓	\$0.24 for past
Marex Trading Services, Ltd.	09/20/06	PTX1350		
Direct Trading Institutional, L.P.	12/06/06	PTX0748		\$0.10 per trade
Cunningham Trading Systems, LLC	12/31/10	PTX1351	✓	\$0.09 for past
Tradehelm	4/18/11	PTX1352	✓	
RCG	11/9/11	PTX1353	✓	\$0.46 for past
Stellar	12/7/12	PTX1354	✓	\$0.10 for past
OEC	2/12/15	PTX2671	✓	\$0.14 for past

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