

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

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

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.
Patent Owner

Case CBM2016-00087
Patent No. 7,412,416 B2

PETITIONERS' UPDATED EXHIBIT LIST

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Patent Trial and Appeal Board
U.S. Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450

UPDATED EXHIBIT LIST

Ex No.	Description
1001	U.S. Patent No. 7,412,416 B2 to Friesen <i>et al.</i> (“’416 patent”)
1002	File History of Application Ser. No. 11/417,522, which became the ’416 patent, as filed and obtained from PAIR (“’416 File History”)
1003	U.S. Patent No. 7,533,056 to Friesen <i>et al.</i> (“’056 patent”)
1004	INTENTIONALLY LEFT BLANK
1005	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00131, Paper 19 (“’131 Ins. Dec.”)
1006	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00131, Paper 24 (“’131 Reh’g Dec.”)
1007	<i>TD Ameritrade Holding Corp. v. Trading Techs. Int’l, Inc.</i> , CBM2014-00131, Paper 38 (“’131 POR”)
1008	<i>IBG LLC v. Trading Techs. Int’l, Inc.</i> , CBM2015-00179, Paper 21 (“’179 POPR”)
1009	<i>Trading Techs. Int’l. v. CQG</i> , No. 05-cv-4811, Slip. Op. (N.D. Ill. Feb. 24, 2015) (“TT v. CQG Slip. Op.”)
1010	Transcript of the Deposition of Christopher Thomas, April 28, 2015 (“Thomas Tr.”)
1011	Redacted Second Corrected Expert Report of Christopher Thomas, <i>Trading Technologies International, Inc. v. CQG, Inc.</i> , Case No. 1:05-CV-04811 (N.D. Ill. Dec. 12, 2013) (“Thomas Report”)
1012	Expert Declaration of Kendyl A. Román (“Román Decl.”)
1013	Curriculum Vitae of Kendyl A. Román (“Román CV”)
1014	List of Materials Considered by Kendyl A. Román (“Román List of Materials”)
1015	“Futures/Option Purchasing System Trading Terminal Operation Guidelines,” Tokyo Stock Exchange (“TSE JP”)
1016	Certified Translation of “System for Buying and Selling Futures and Options Transaction Terminal Operational Guidelines” (“TSE”)

Ex No.	Description
1017	Certificate of Translation for “System for Buying and Selling Futures and Options Transaction Terminal Operational Guidelines” (“TSE Certificate”)
1018	Deposition Transcript of Atsushi Kawashima, <i>Trading Technologies International, Inc., v. eSPEED, Inc.</i> , Case No. 04-cv-5312, United States District Court, Northern District of Illinois, Eastern Division, dated November 21, 2005 (“Kawashima Dep. Tr.”)
1019	U.S. Patent No. 5,619,631 to Schott (“Schott”)
1020	U.S. Patent No. 5,646,992 to Subler <i>et al.</i> (“Subler”)
1021	INTENTIONALLY LEFT BLANK
1022	U.S. Patent No. 5,136,501 to Silverman <i>et al.</i> (“Silverman”)
1023	U.S. Patent No. 5,297,031 to Gutterman <i>et al.</i> (“Gutterman”)
1024	WO 90/11571 to Belden
1025	Mark J. Powers, “Starting Out in Futures Trading,” Sixth Edition, 2001 (“Powers”)
1026	History of the American and NASDAQ Stock Exchanges
1027	David M. Weiss, “After the Trade is Made,” 1993 (“Weiss”)
1028	INTENTIONALLY LEFT BLANK
1029	Alan Cooper, “About Face: The Essentials of User Interface Design,” First Edition, 1995. (“Cooper”)
1030	Ben Shneiderman, “Designing the User Interface: Strategies for Effective Human-Computer Interaction,” Third Edition, 1998 (“Shneiderman”)
1031	INTENTIONALLY LEFT BLANK
1032	INTENTIONALLY LEFT BLANK
1033	Richard W. Arms Jr., “Profits in Volume - Equivolume Charting,” 1971 (“Arms”)
1034	INTENTIONALLY LEFT BLANK
1035	Inside Macintosh, Promotional Edition, Apple Computer, Inc., 1985 (“Inside Macintosh”)

Ex No.	Description
1036	Valerie Illingworth, and I. C. Pyle, Dictionary of Computing, 4th Ed, Oxford University Press, 1996 (“Oxford Dictionary”)
1037	U.S. Patent No. 1,760,287 to Schippers (“Schippers”)
1038	INTENTIONALLY LEFT BLANK
1039	INTENTIONALLY LEFT BLANK
1040	Merriam-Webster’s Collegiate Dictionary, Tenth Edition, 1998.
1041	<i>TradeStation Gr’p, Inc. v. Trading Techs. Int’l, Inc.</i> , CBM2015-00161, Paper 29 (“161 Ins. Dec.”)
1042	U.S. Patent No. 5,347,452 to Bay, Jr. (“Bay”)
1043-1057	<i>Served not filed</i>
1058	Deposition Transcript of Christopher H. Thomas, <i>IBG LLC et al. v. Trading Techs. Int’l, Inc.</i> , CBM2016-00087, May 8, 2017.
1059	Deposition Transcript of Christopher H. Thomas, <i>IBG LLC et al. v. Trading Techs. Int’l, Inc.</i> , CBM2016-00032, January 27, 2017.
1060	Deposition Transcript of Christopher H. Thomas, <i>IBG LLC et al. v. Trading Techs. Int’l, Inc.</i> , CBM2015-00179, August 17, 2016.
1061	<i>Growth and Change in the Eighties</i> , New York Stock Exchange Annual Report, 1983.
1062	Terrell, E., “History of the American and NASDAQ Stock Exchanges,” Business Reference Services, September 2006.
1063	Rustin, R., “Stock Exchange’s New Home May Feature Push-Button Trades Via Private Offices,” <i>The Wall Street Journal</i> , May 13, 1969.
1064	Slip Opinion, <i>Trading Technologies International, Inc. v. CQG, Inc., et al.</i> , Appeal No. 2016-1616 (Fed. Cir. Jan. 18, 2017).
1065	Memorandum Opinion and Order, <i>Trading Technologies International, Inc. v. CQG, Inc., et al.</i> , Case No. 05-cv-4811 (N.D. Ill.), February 24, 2015.
1066	Merriam-Webster Collegiate Dictionary, Eleventh Edition, 2008
1067	Webster’s New World College Dictionary, Fourth Edition, 2012

SERVED EXHIBITS (NOT FILED)

Ex No.	Description
1043	Transcript of the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1044	Declaration of Robert E. Sokohl.
1045	Updated Certificate of Translation for "System for Buying and Selling Futures and Options Transaction Terminal Operational Guidelines"
1046	Exhibit No. 1 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1047	Certified English Translation of Exhibit No. 1 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1048	Certification of Translation of Exhibit No. 1 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1049	Exhibit No. 2 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1050	Certified English Translation of Exhibit No. 2 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1051	Certification of Translation of Exhibit No. 2 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1052	Exhibit No. 3 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.
1053	Certified English Translation of Exhibit No. 3 from the Deposition of Atushi Kawashima, <i>IBG, LLC et al. v. Trading Techs. Int'l, Inc.</i> , CBM2015-00179, -00181, and -00182, June 17, 2016.

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