

AO 121 (6/90)

<b>TO:</b>	
COMMISSIONER OF PATENTS AND TRADEMARKS (USPTO) P.O. Box 1450 Alexandria, VA 22313-1450	<b>REPORT ON THE                  FILING OF DETERMINATION OF AN                  ACTION REGARDING A PATENT OR                  TRADEMARK</b>

In compliance with 35 U.S.C. 290 and/or 15 U.S.C. 1116 you are hereby advised that a court action has been filed on the following patent(s)/trademark(s) in the U.S. District Court:

<b>DOCKET NO.</b> 10cv720	<b>DATE FILED</b> 2/3/2010	<b>UNITED STATES DISTRICT COURT, NORTHERN DISTRICT OF ILLINOIS, EASTERN DIVISION</b>
<b>PLAINTIFFS</b> Trading Technologies International, Inc.		<b>DEFENDANTS</b> FuturePath Trading, LLC
<b>TRADEMARK NUMBER</b>	<b>DATE OF TRADEMARK</b>	<b>HOLDER OF PATENT OR TRADEMARK</b>
7,212,999	5/1/2007	<b>Richard W. Friesen &amp; Peter C. Hart</b>
7,412,416	8/12/2008	<b>Richard W. Friesen &amp; Peter C. Hart</b>
7,533,056	5/12/2009	<b>Richard W. Friesen &amp; Peter C. Hart</b>

In the above-entitled case, the following trademarks(s) have been included:

<b>DATE INCLUDED</b>	<b>INCLUDED BY</b> <input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading		
<b>TRADEMARK NUMBER</b>	<b>DATE OF TRADEMARK</b>	<b>HOLDER OF PATENT OR TRADEMARK</b>	
1.			
2.			
3.			

In the above-entitled case, the following decision has been rendered or judgment issued:

<b>DECISION/JUDGMENT:</b>		
<b>CLERK</b> MICHAEL W. DOBBINS	<b>(BY) DEPUTY CLERK:</b> /s/ Elisa Perez	<b>DATE:</b> February 5, 2010

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

PATENT NO. : 7,412,416 B2  
APPLICATION NO. : 11/417522  
DATED : August 12, 2008  
INVENTOR(S) : Richard W. Friesen et al.

Page 1 of 9

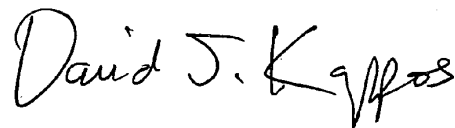
It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Replace figures 2, 3A, 3B, 3D, 3E, 4, 6, 7, 9, and 10 with the attached replacement sheets.

Column 6, line 35: please delete "\$29.50" and insert --slightly less than \$27.35--.

Signed and Sealed this

Fourteenth Day of September, 2010

A handwritten signature in black ink that reads "David J. Kappos". The signature is written in a cursive style with a large, stylized 'D' and 'K'.

David J. Kappos  
*Director of the United States Patent and Trademark Office*

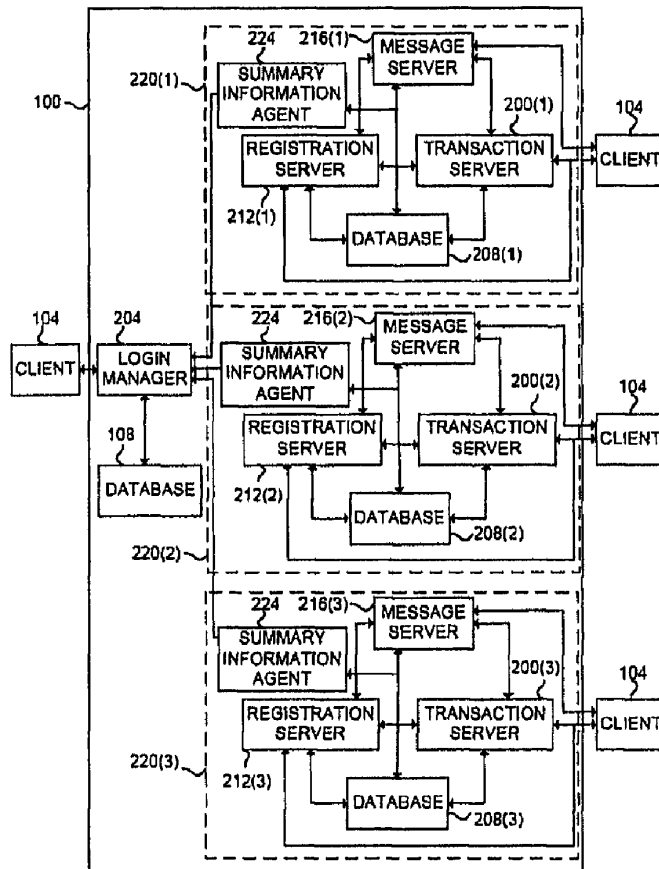


FIG. 2

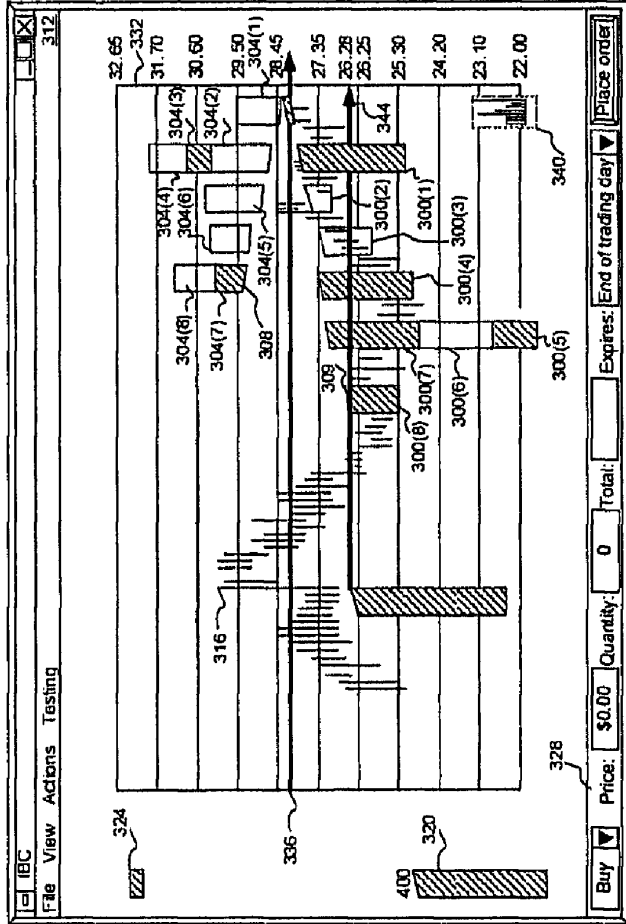
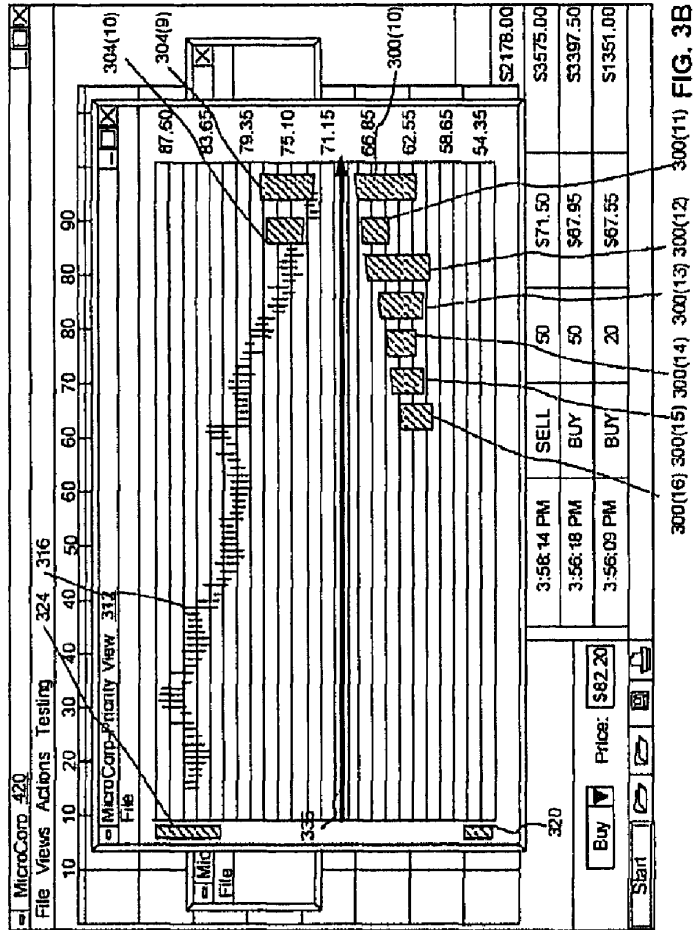


FIG. 3A



A dialog box titled "BUY" with a close button (X) in the top right corner. It contains the following fields: "Price:" with a text box containing "\$35.90"; "Quantity:" with a text box containing "40"; "Value:" with a text box containing "\$1438.00"; and "Expires:" with a dropdown menu showing "End of trading day". At the bottom are "OK" and "Cancel" buttons. A reference numeral "350" is located to the right of the dialog box.

FIG. 3D

A dialog box titled "SELL" with a close button (X) in the top right corner. It contains the following fields: "Price:" with a text box containing "\$50.10"; "Quantity:" with a text box containing "50"; "Value:" with a text box containing "\$2505.00"; and "Expires:" with a dropdown menu showing "1 Week". At the bottom are "OK" and "Cancel" buttons. A reference numeral "354" is located to the right of the dialog box.

FIG. 3E

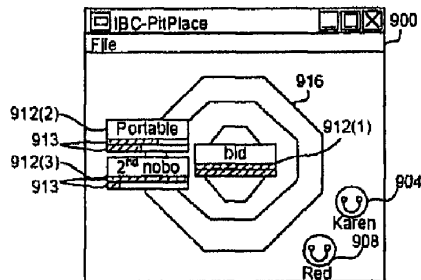


FIG. 9

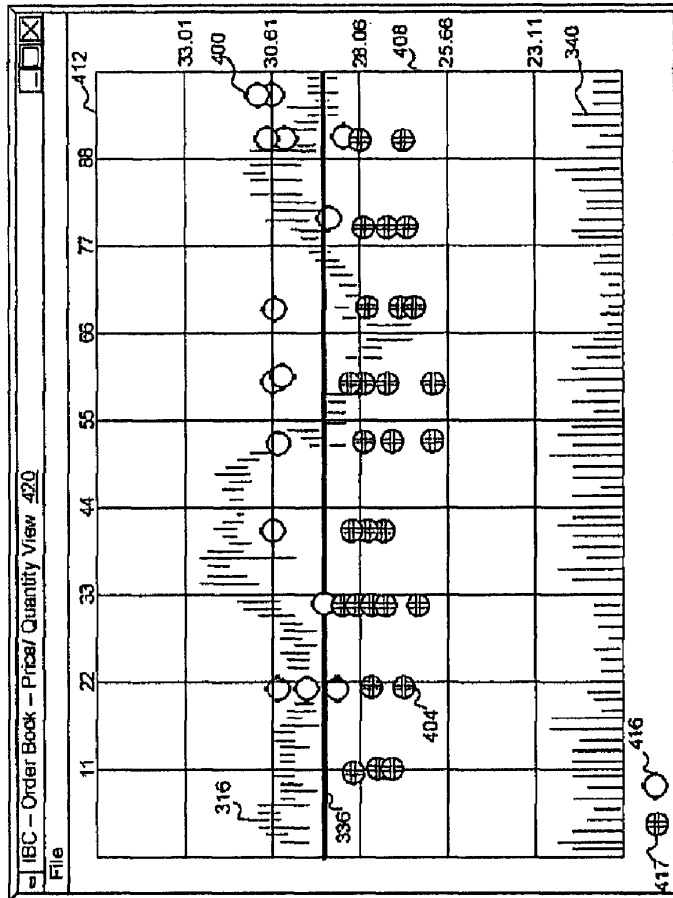


FIG. 4

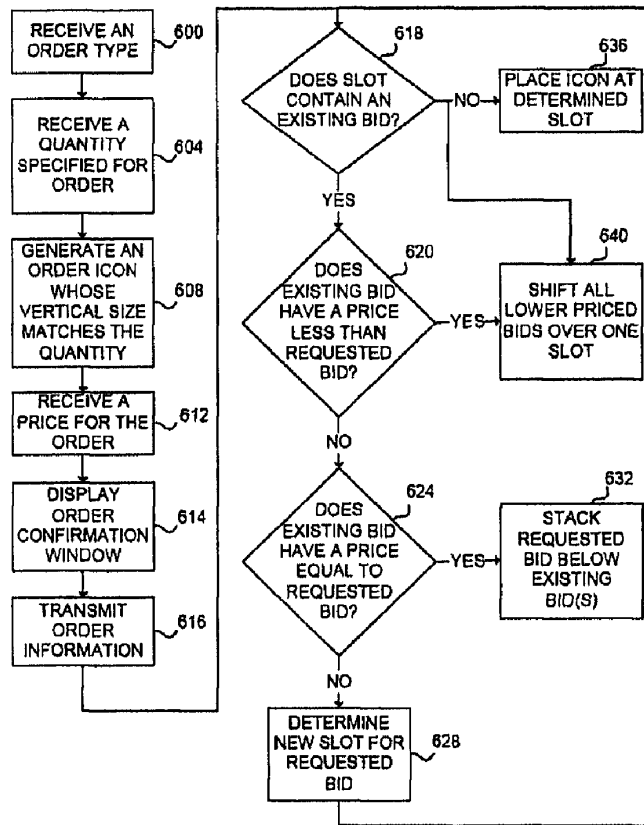


FIG. 6



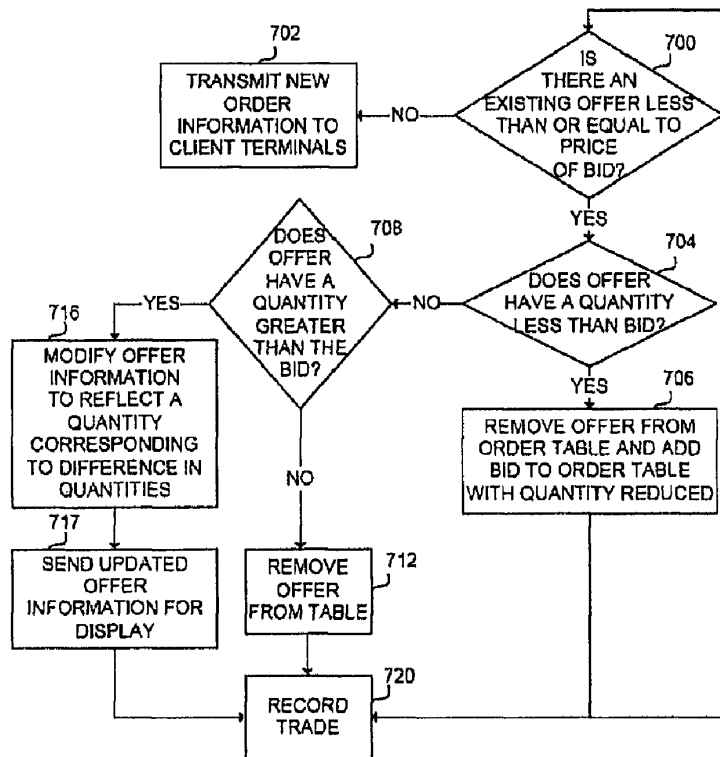


FIG. 7

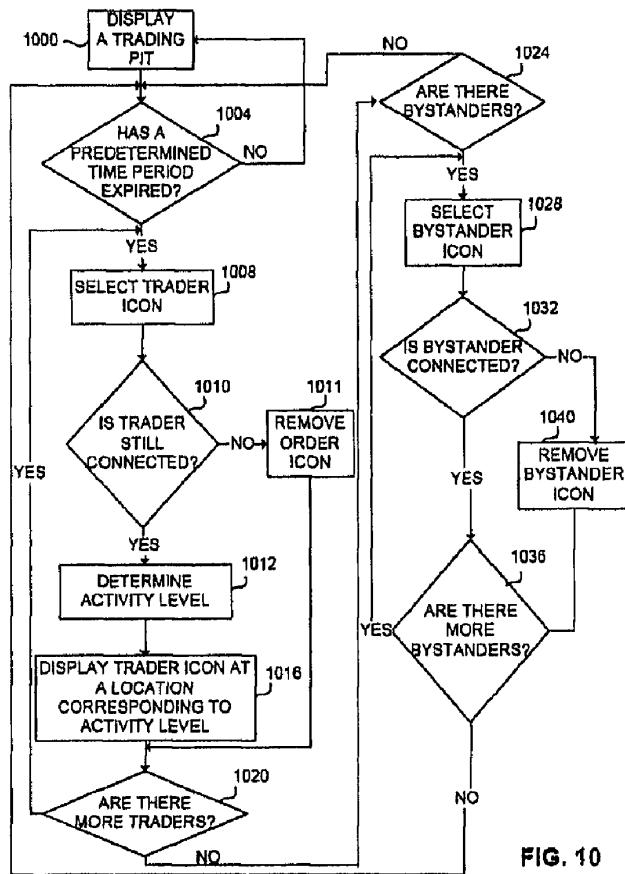


FIG. 10

SPE RESPONSE FOR CERTIFICATE OF CORRECTION

DATE : 6-21-10

Paper No.: \_\_\_\_\_

TO SPE OF : ART UNIT 3693

SUBJECT : Request for Certificate of Correction for Appl. No.: 11417,522 Patent No.: 7412416

Please respond to this request for a certificate of correction within 7 days.

**FOR IFW FILES:** Should COC be approved

Please review the requested changes/corrections as shown in the **COCIN** document(s) in the IFW application image. No new matter should be introduced, nor should the scope or meaning of the claims be changed.

Please complete the response (see below) and forward the completed response to scanning using document code **COCX**.

**FOR PAPER FILES:**

Please review the requested changes/corrections as shown in the attached certificate of correction. Please complete this form (see below) and forward it with the file to:

**Certificates of Correction Branch (CofC)**  
**Randolph Square – 9D10-A**  
**Palm Location 7580**

*Ennis Young LYE*  
*Randolph Sq. Ste 9D62A*  
*703-756-1542*

**Thank You For Your Assistance**

**The request for issuing the above-identified correction(s) is hereby:**

Note your decision on the appropriate box.

**Approved**

All changes apply.

**Approved in Part**

Specify below which changes **do not** apply.

**Denied**

State the reasons for denial below.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**SPE**

/James Kramer/ 3693

**ART UNIT**

SPE RESPONSE FOR CERTIFICATE OF CORRECTION

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Paper No.: \_\_\_\_\_

TO SPE OF : ART UNIT 3693

SUBJECT : Request for Certificate of Correction for Appl. No.: 11417,522 Patent No.: 7412416

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**Thank You For Your Assistance**

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Note your decision on the appropriate box.

- Approved** All changes apply.
- Approved in Part** Specify below which changes do not apply.
- Denied** State the reasons for denial below.

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**SPE**

**ART UNIT**

**UNITED STATES PATENT AND TRADEMARK OFFICE**  
**(Attorney Docket No. 03-1106-Z)**

IN THE APPLICATION OF:	)		
	)		
Friesen, et al.	)		
	)		
Serial No.: 11/417,522	)	Examiner:	Jason Borlinghaus
	)		
Filed: May 3, 2006	)	Group Art Unit:	3693
	)		
U.S. Patent: 7,412,416 issued August 12, 2008	)	Conf. No.:	8225
	)		
Title: User Interface for an Electronic Trading System	)		

**REQUEST FOR CERTIFICATE OF CORRECTION**  
**PURSUANT TO 37 C.F.R. § 1.323**

Attn: Certificate of Correction Branch  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Pursuant to 37 C.F.R. §1.323, the Assignee of Record, Trading Technologies International, Inc., requests issuance of a Certificate of Correction to correct mistakes of clerical, typographical nature and of minor character in the above-identified Patent. The correction is as follows:

Column 6, line 35: please delete "\$29.50" and insert --slightly less than \$27.35--.

Please replace Figures 2, 3A, 3B, 3D, 3E, 4, 6, 7, 9, and 10 with the attached Replacement Sheets. The Assignee submits that no new matter would be added by the requested replacement of these Figures, in that all of the changes are supported by the original application as filed. For clarity, the Assignee points out that some of the changes to the Figures correct errors that were made during the preparation and filing of Formal Drawings. In other cases, the Figures are being amended for consistency with the specification. Such changes include typographical errors, arrow directions, and incorrect reference numbers, as examples. For the Office's convenience, the Assignee

is providing herewith a set of Annotated Sheets, which point out each correction being made in the Replacement Sheets.

As stated above, the Assignee respectfully submits that the requested corrections would not add new matter, nor would they require substantive examination of the file.

Consideration of this Request and issuance of the Certificate of Correction are respectfully requested. The Assignee submits herewith a completed Certificate of Correction Form (PTO/SB/44), as well as the fee set forth in 37 C.F.R. §1.20(a). No additional fees are believed due in connection with this Request; however, the Assignee hereby authorizes the Patent Office to charge any underpayment, and to credit any overpayment, to Deposit Account No. 13-2490.

If there are any questions or comments regarding this request, the Examiner is encouraged to contact the undersigned attorney as indicated below.

Respectfully submitted,

Date: June 16, 2010

By: /Jori R. Fuller/  
Jori R. Fuller  
Reg. No. 57,628

**McDonnell Boehnen  
Hulbert & Berghoff LLP**  
300 South Wacker Drive  
Chicago, IL 60606  
Telephone: 312-913-0001  
Facsimile: 312-913-0002

**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**Page  1  of  9 

PATENT NO. : 7,412,416 B2

APPLICATION NO.: 11/417,522

ISSUE DATE : August 12, 2008

INVENTOR(S) : Richard W. Friesen, et al.

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

Column 6, line 35: please delete "\$29.50" and insert --slightly less than \$27.35-- .

## MAILING ADDRESS OF SENDER (Please do not use customer number below):

McDonnell Boehnen Hulbert & Berghoff LLP  
300 South Wacker Drive  
Chicago, IL 60606

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. 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 1.0 hour 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

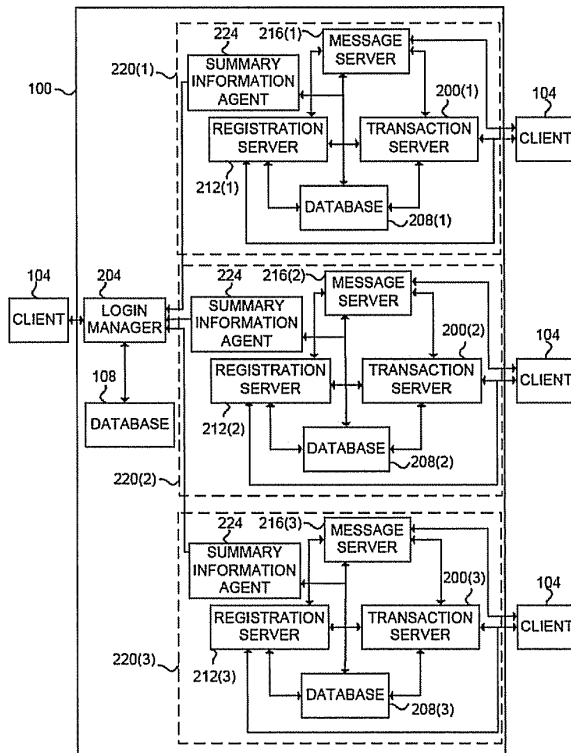
*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 2 of 9

PATENT NO. : 7,412,416 B2  
 APPLICATION NO.: 11/417,522  
 ISSUE DATE : August 12, 2008  
 INVENTOR(S) : Richard W. Friesen et al.

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



**FIG. 2**

MAILING ADDRESS OF SENDER (Please do not use customer number below):

McDonnell Boehnen Hulbert & Berghoff LLP  
 300 South Wacker Drive  
 Chicago, IL 60606

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. 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 1.0 hour 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Page 3 of 9

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 APPLICATION NO.: 11/417,522  
 ISSUE DATE : August 12, 2008  
 INVENTOR(S) : Richard W. Friesen et al.

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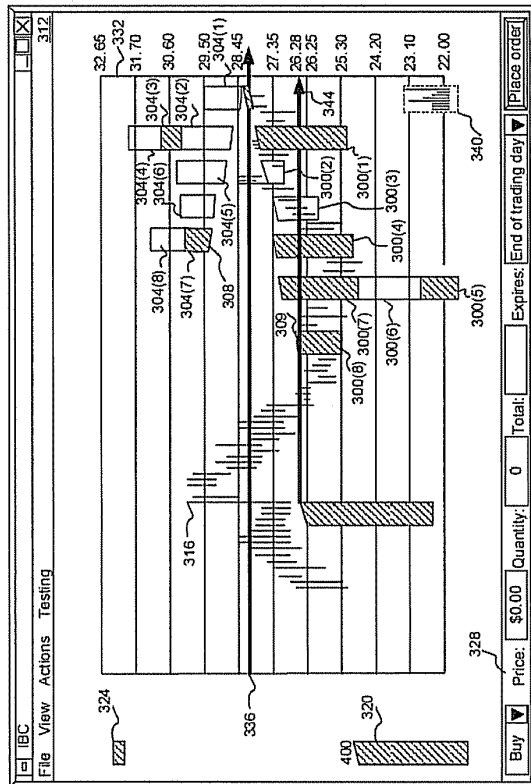


FIG. 3A

MAILING ADDRESS OF SENDER (Please do not use customer number below):

McDonnell Boehnen Hulbert & Berghoff LLP  
 300 South Wacker Drive  
 Chicago, IL 60606

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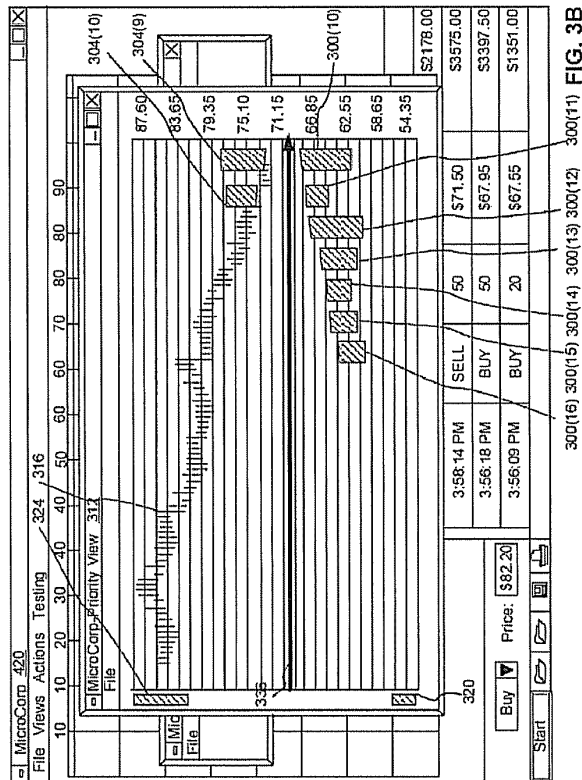
*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 4 of 9

PATENT NO. : 7,412,416 B2  
 APPLICATION NO.: 11/417,522  
 ISSUE DATE : August 12, 2008  
 INVENTOR(S) : Richard W. Friesen et al.

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## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 5 of 9

PATENT NO. : 7,412,416 B2  
 APPLICATION NO.: 11/417,522  
 ISSUE DATE : August 12, 2008  
 INVENTOR(S) : Richard W. Friesen et al.

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

**BUY**

Price: \$35.90

Quantity: 40

Value: \$1436.00

Expires: End of trading day

OK Cancel

**FIG. 3D**

**SELL**

Price: \$50.10

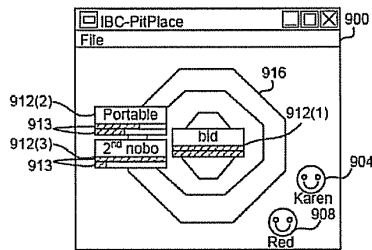
Quantity: 50

Value: \$2505.00

Expires: 1 Week

OK Cancel

**FIG. 3E**



**FIG. 9**

MAILING ADDRESS OF SENDER (Please do not use customer number below):

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 300 South Wacker Drive  
 Chicago, IL 60606

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

Page 6 of 9

PATENT NO. : 7,412,416 B2  
APPLICATION NO.: 11/417,522  
ISSUE DATE : August 12, 2008  
INVENTOR(S) : Richard W. Friesen et al.

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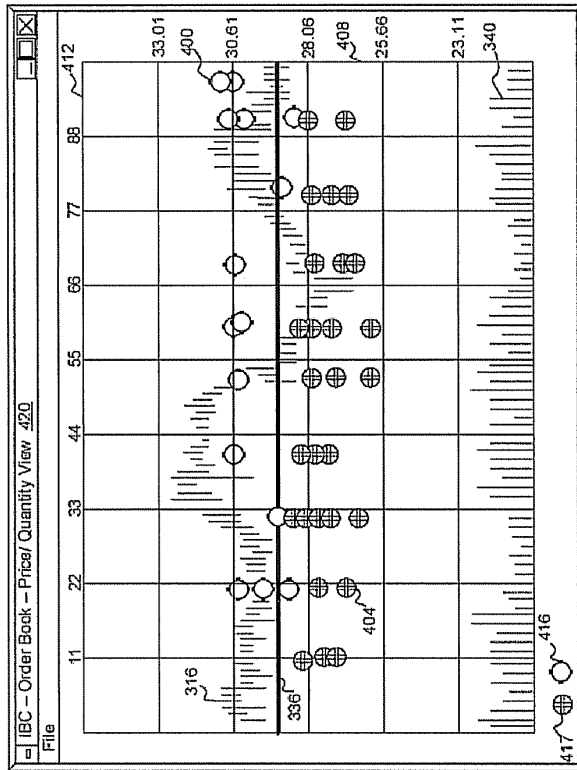


FIG. 4

MAILING ADDRESS OF SENDER (Please do not use customer number below):

McDonnell Boehnen Hulbert & Berghoff LLP  
300 South Wacker Drive  
Chicago, IL 60606

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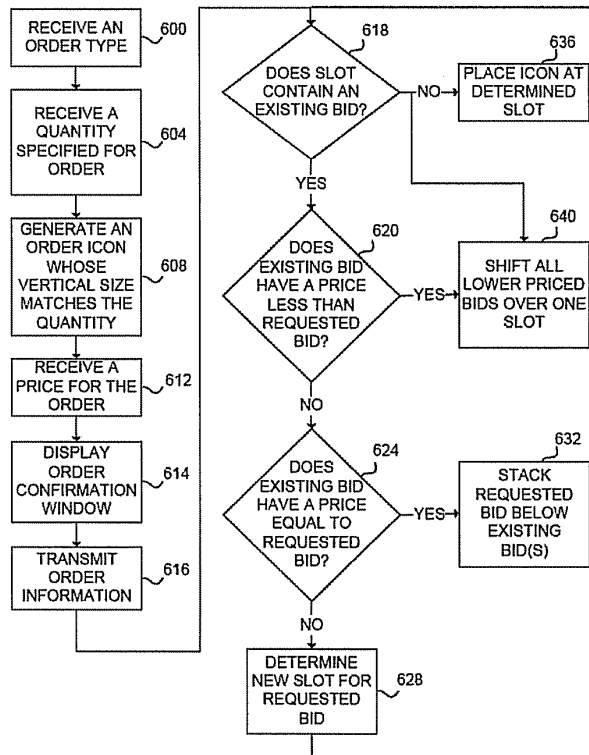
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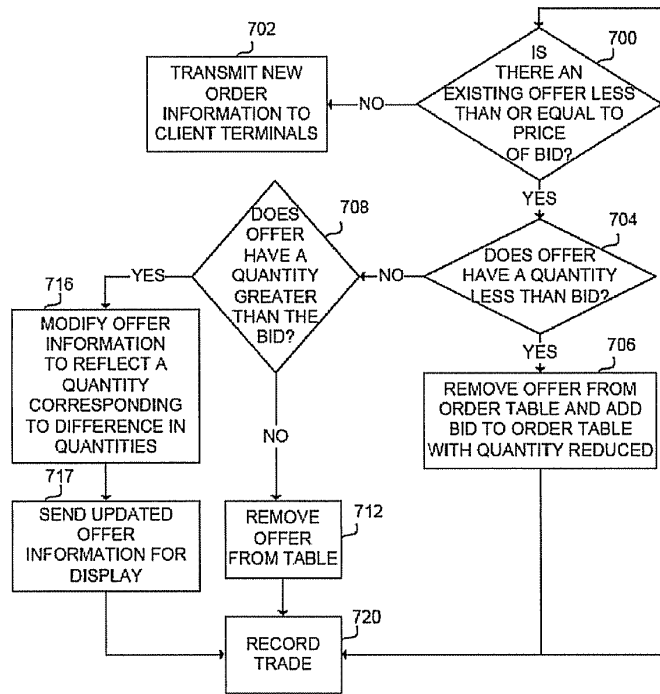
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**FIG. 7**

MAILING ADDRESS OF SENDER (Please do not use customer number below):

McDonnell Boehnen Hulbert & Berghoff LLP  
 300 South Wacker Drive  
 Chicago, IL 60606

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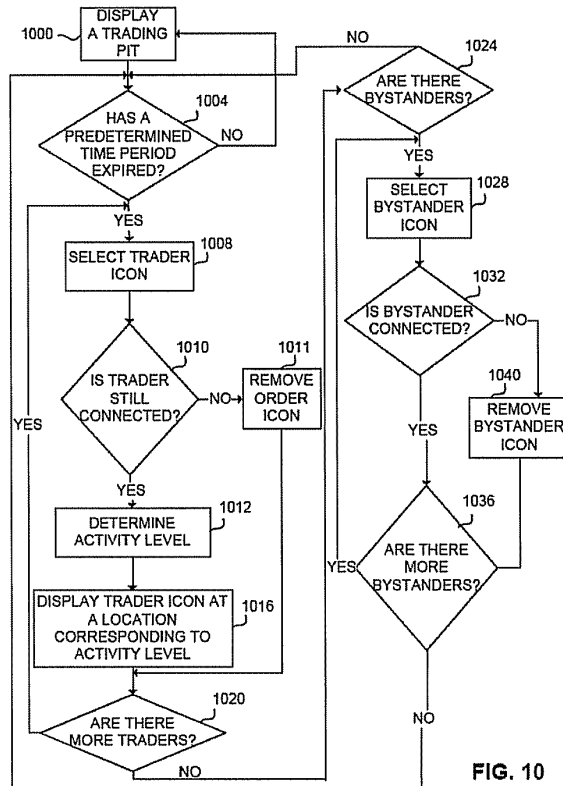


FIG. 10

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McDonnell Boehnen Hulbert & Berghoff LLP  
 300 South Wacker Drive  
 Chicago, IL 60606

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. 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 1.0 hour 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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

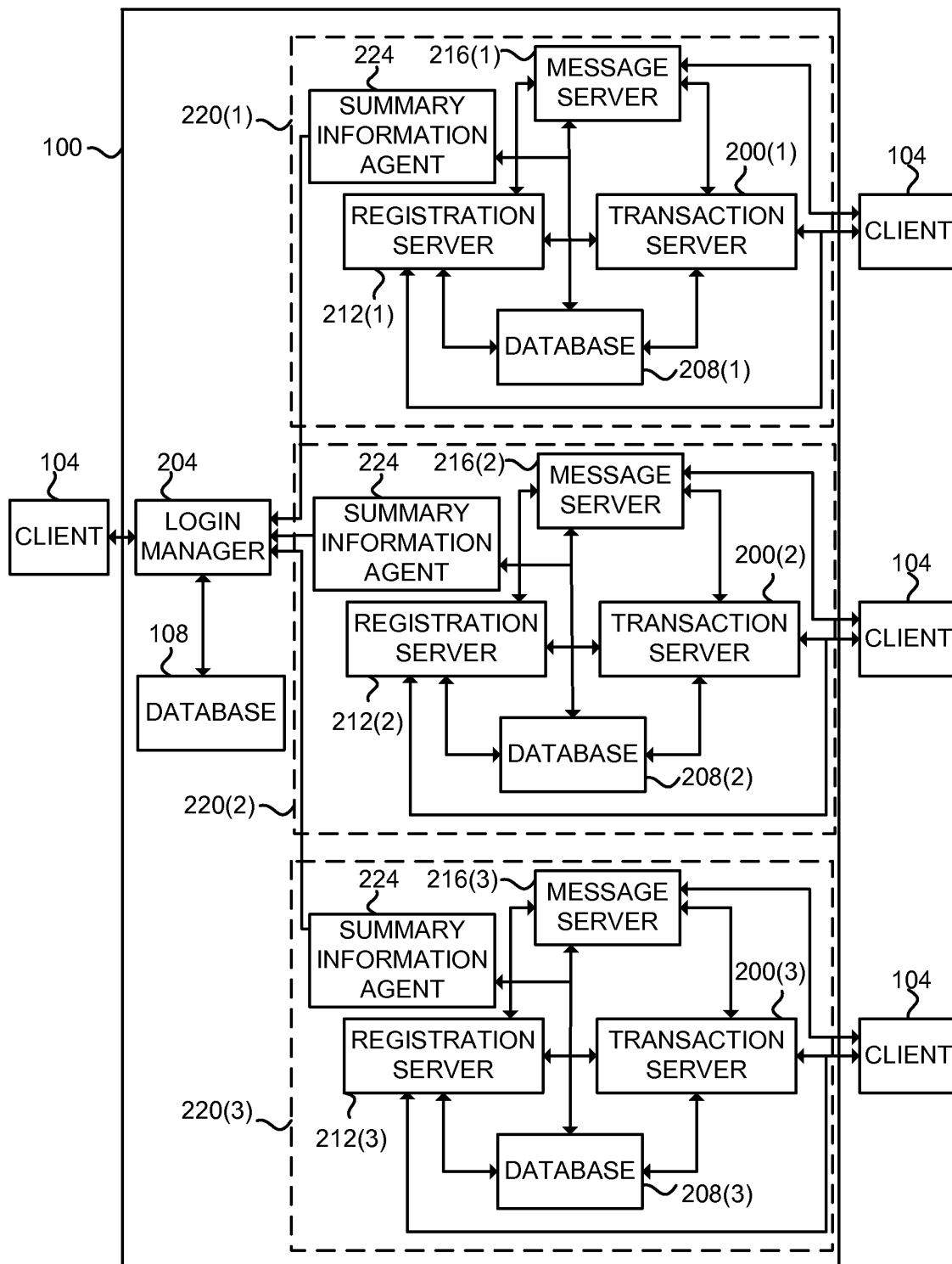


FIG. 2



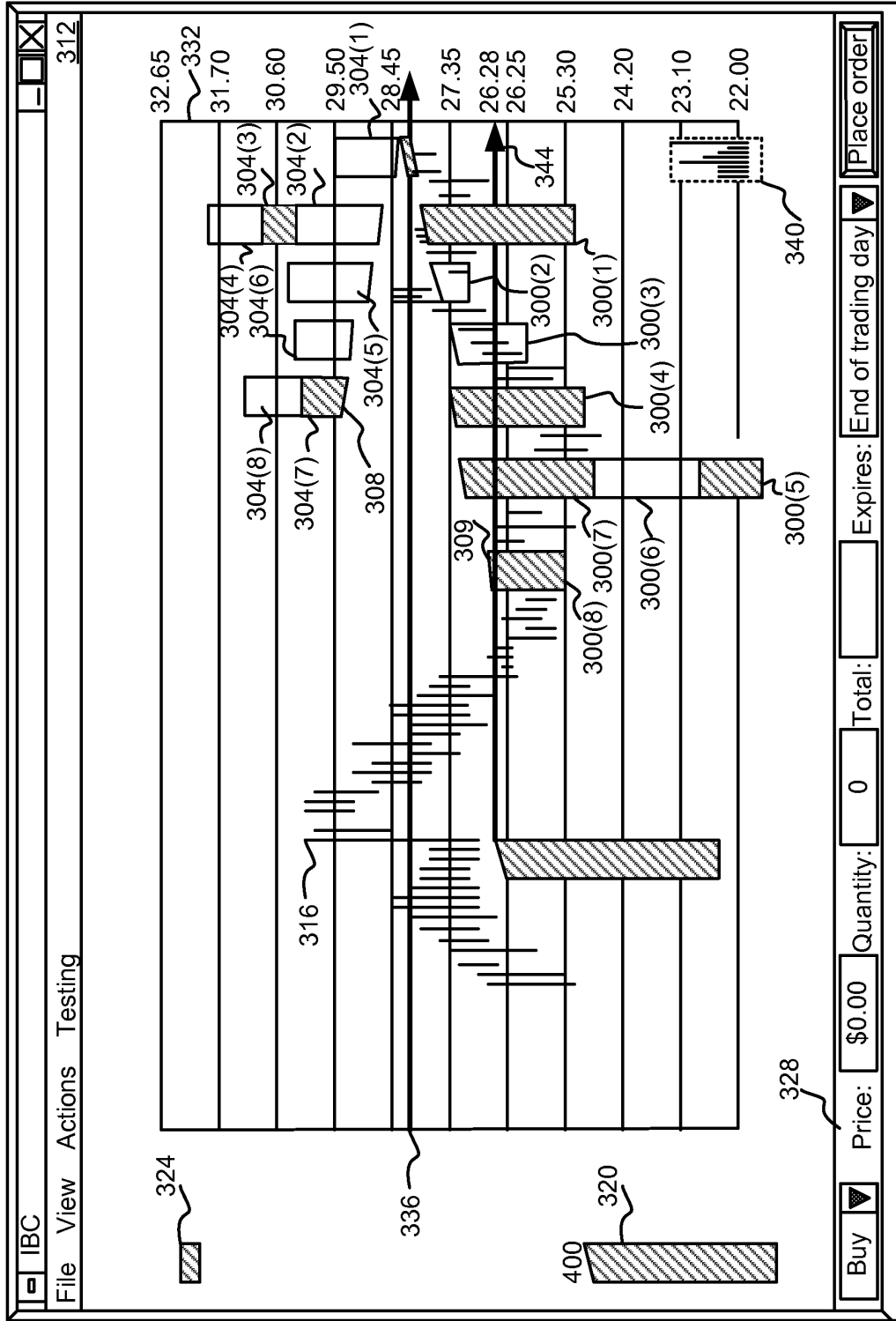
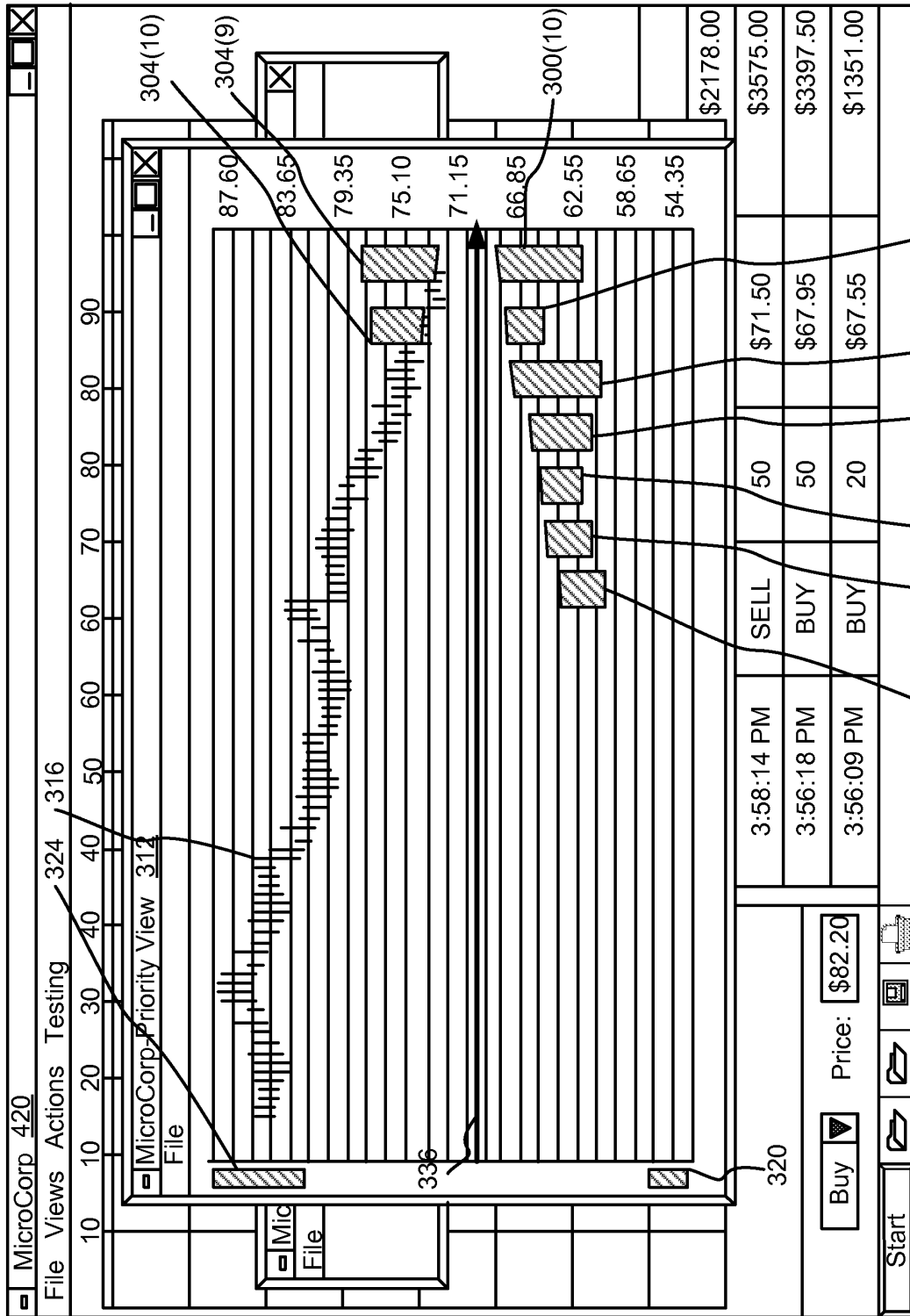


FIG. 3A



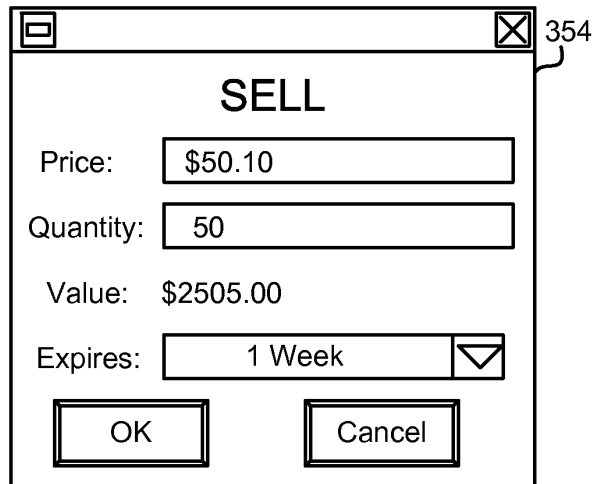
300(16) 300(15) 300(14) 300(13) 300(12) 300(11) **FIG. 3B**



A dialog box titled "BUY" with a close button (X) in the top right corner, labeled 350. It contains the following fields and controls:

- Price:
- Quantity:
- Value: \$1436.00
- Expires:  with a dropdown arrow.
- Buttons: "OK" and "Cancel".

FIG. 3D



A dialog box titled "SELL" with a close button (X) in the top right corner, labeled 354. It contains the following fields and controls:

- Price:
- Quantity:
- Value: \$2505.00
- Expires:  with a dropdown arrow.
- Buttons: "OK" and "Cancel".

FIG. 3E

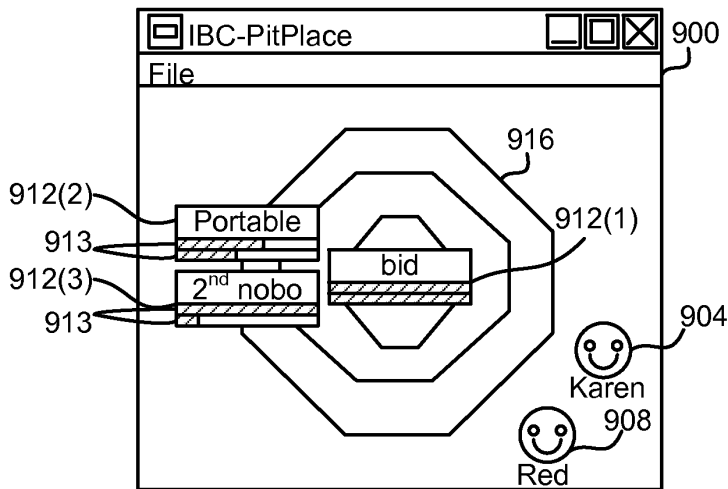


FIG. 9

Replacement Sheet  
7,412,416  
Art Unit 3693

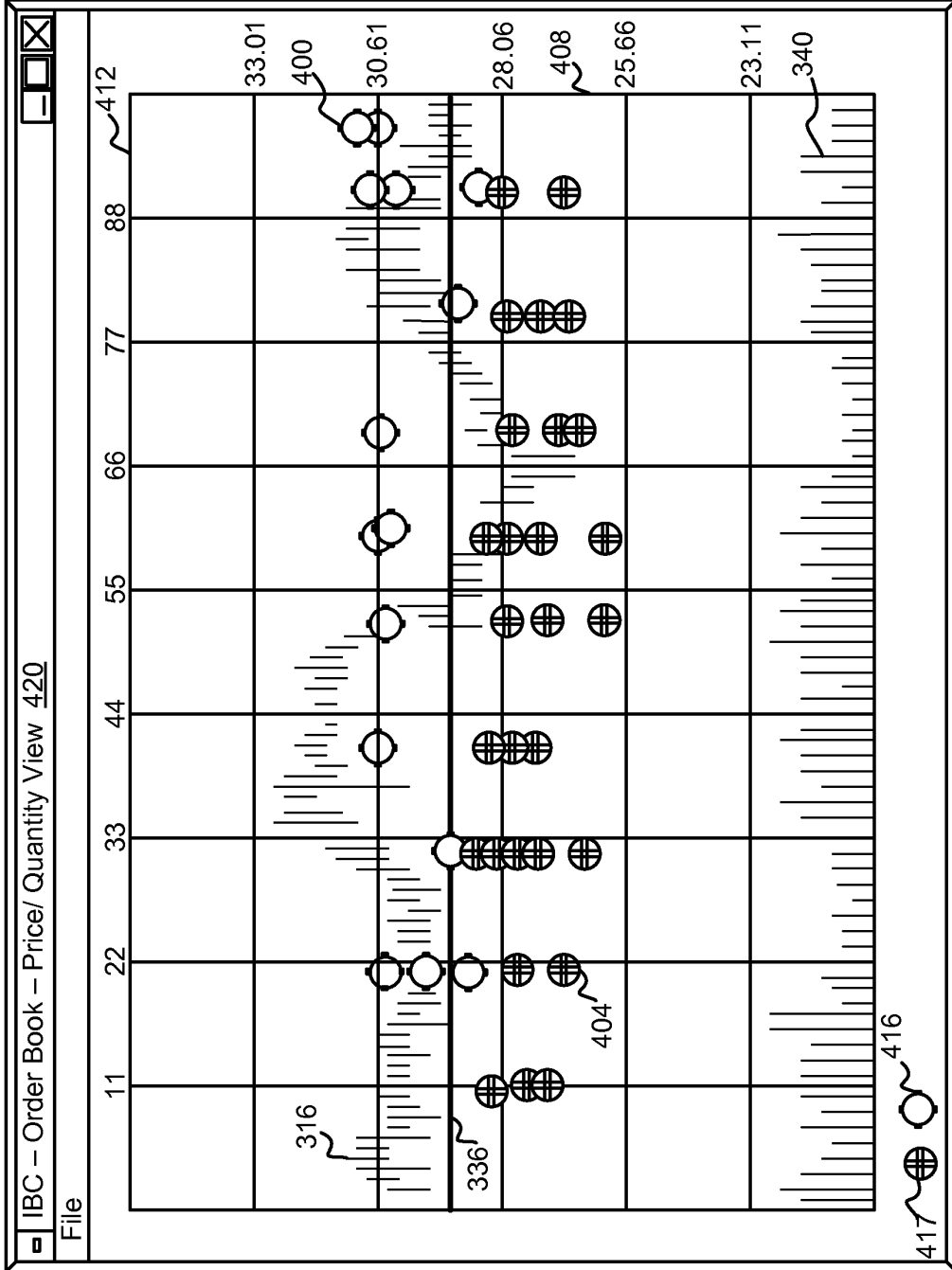


FIG. 4

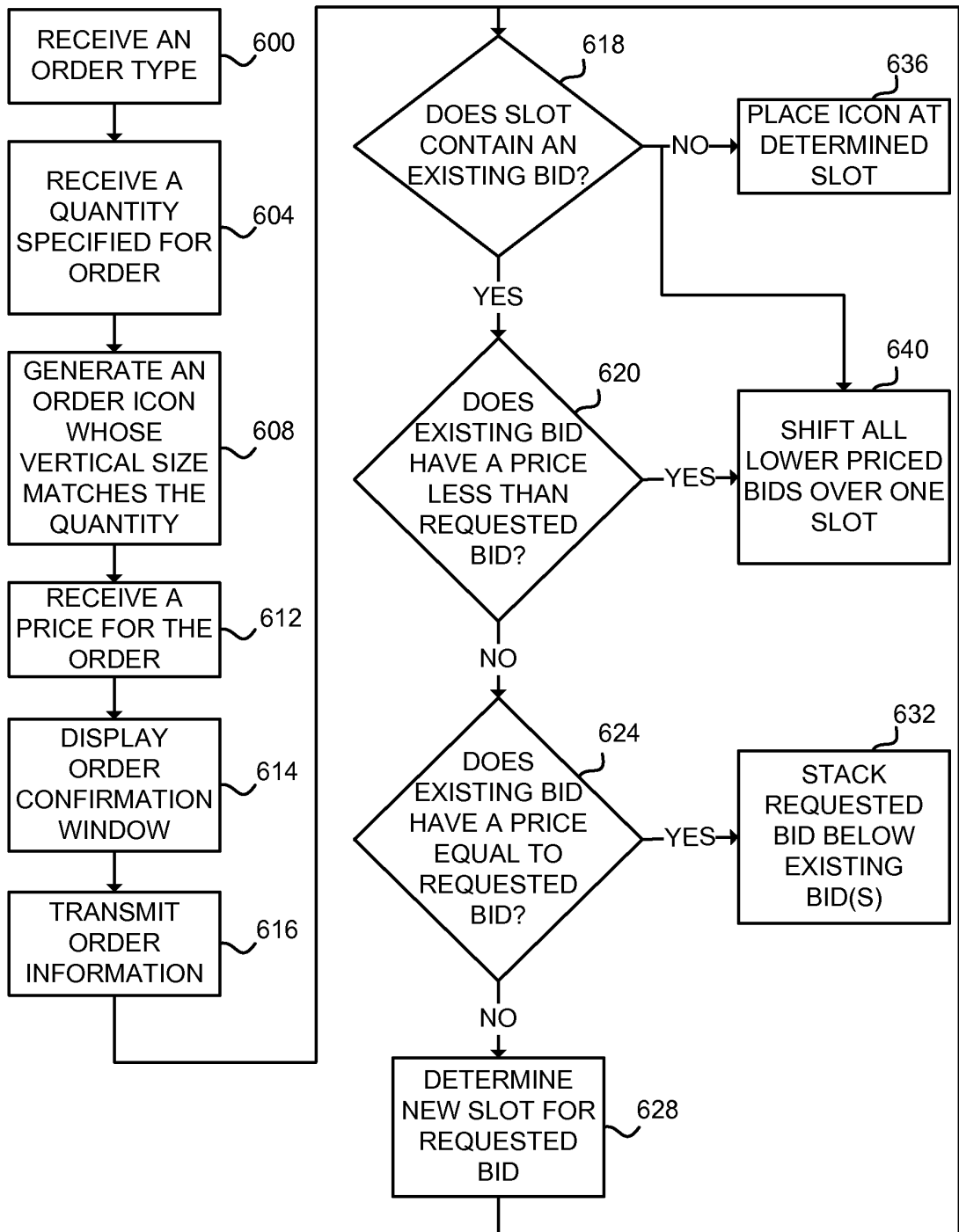


FIG. 6

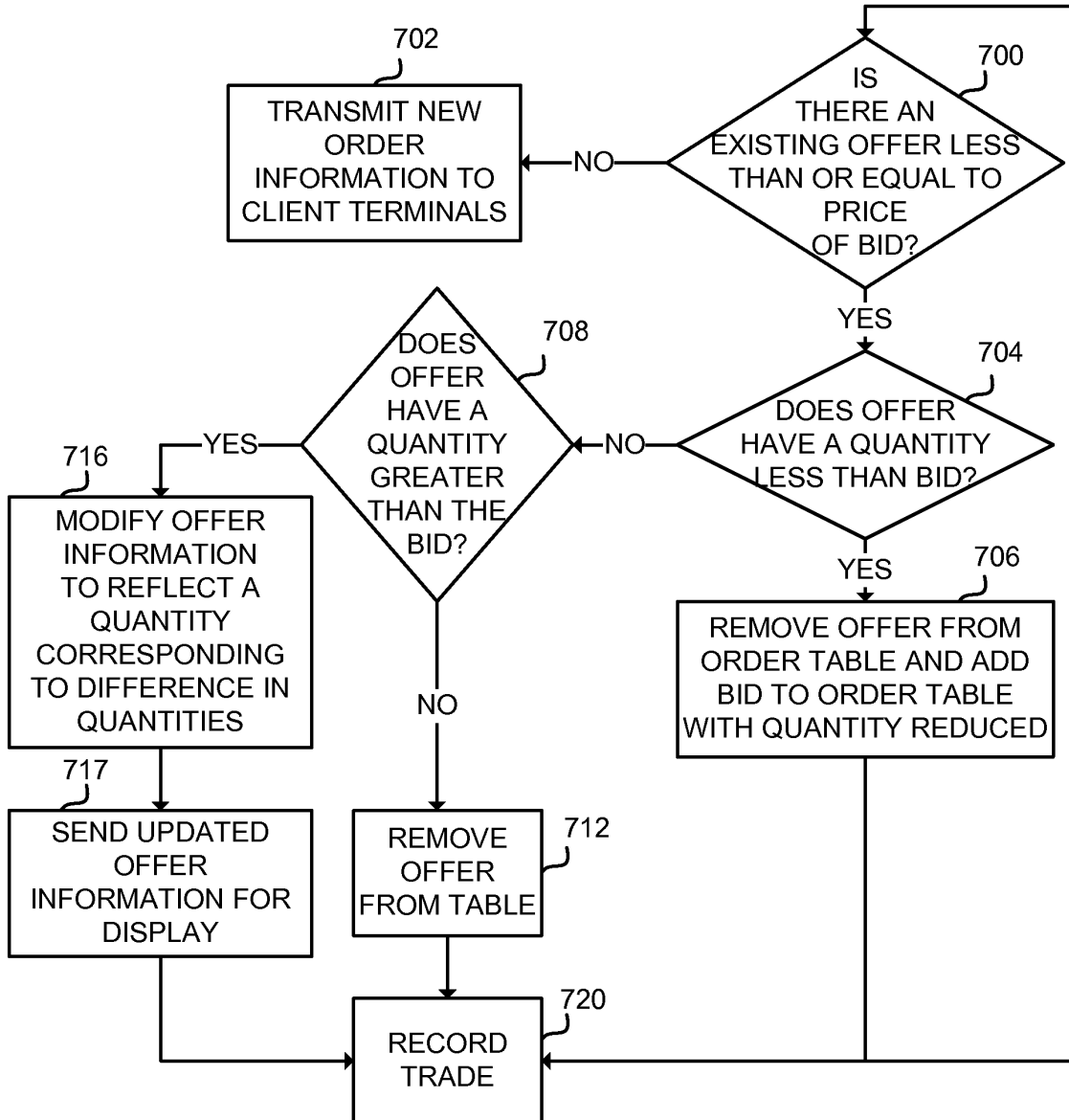
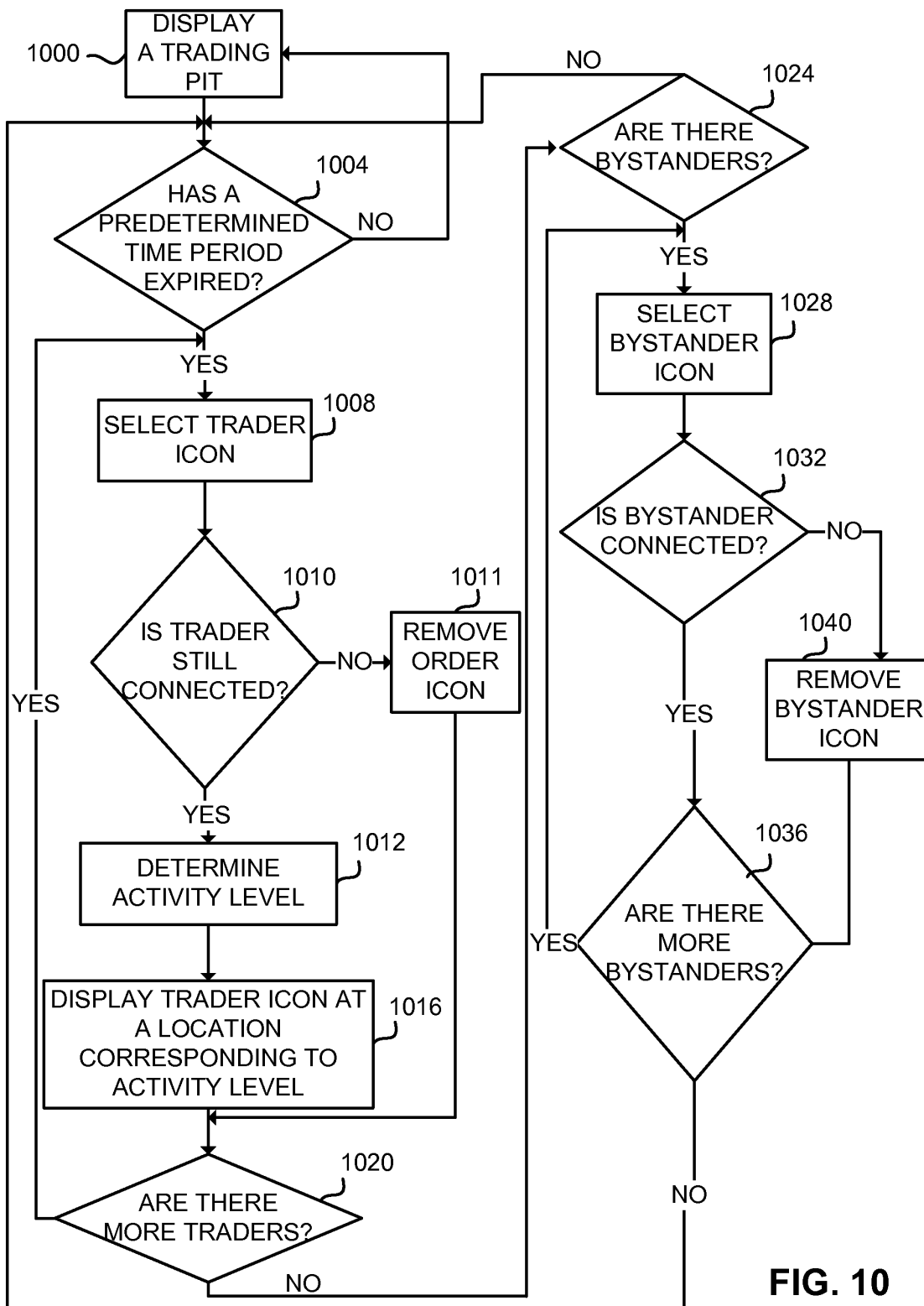


FIG. 7



**FIG. 10**

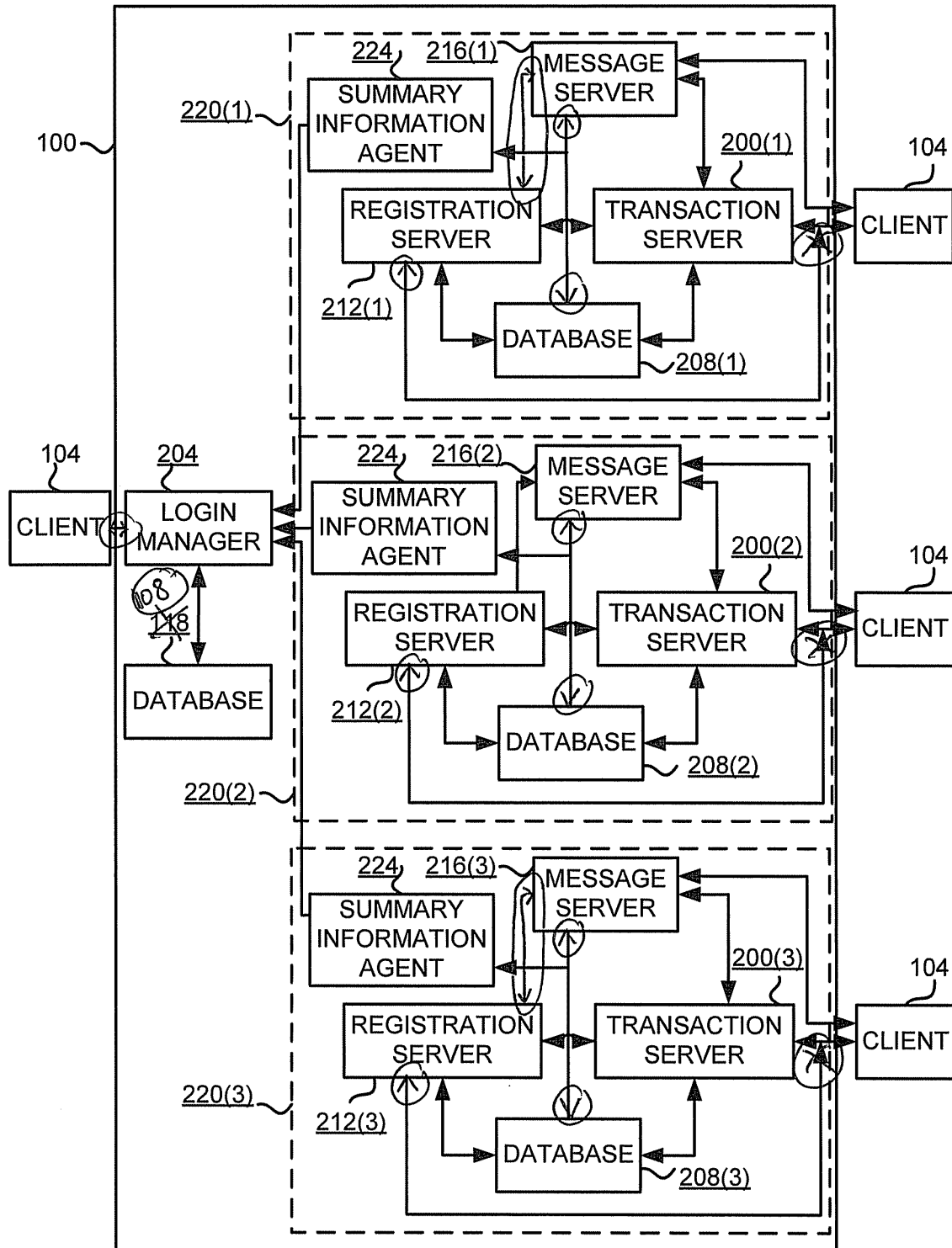


FIG. 2



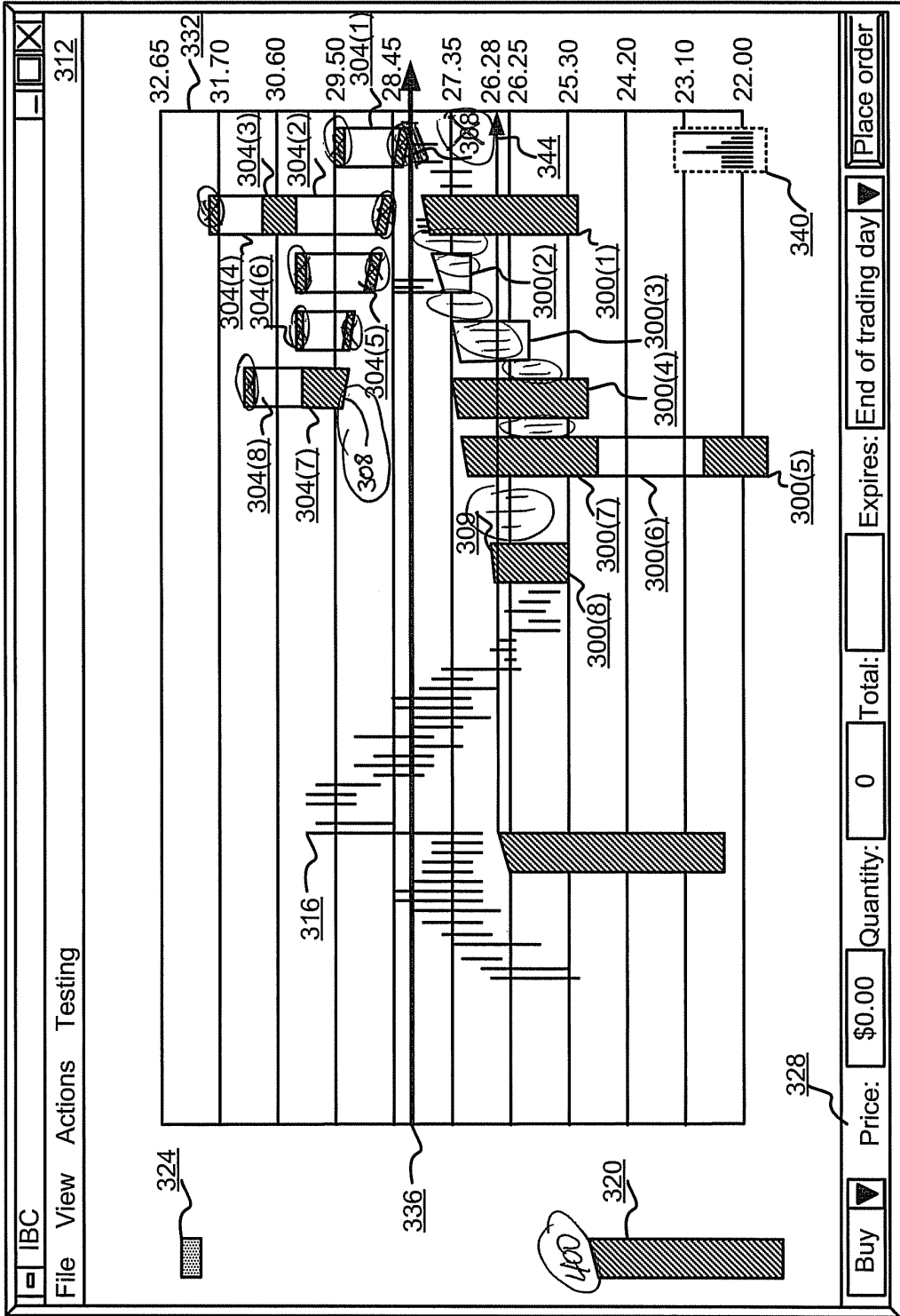
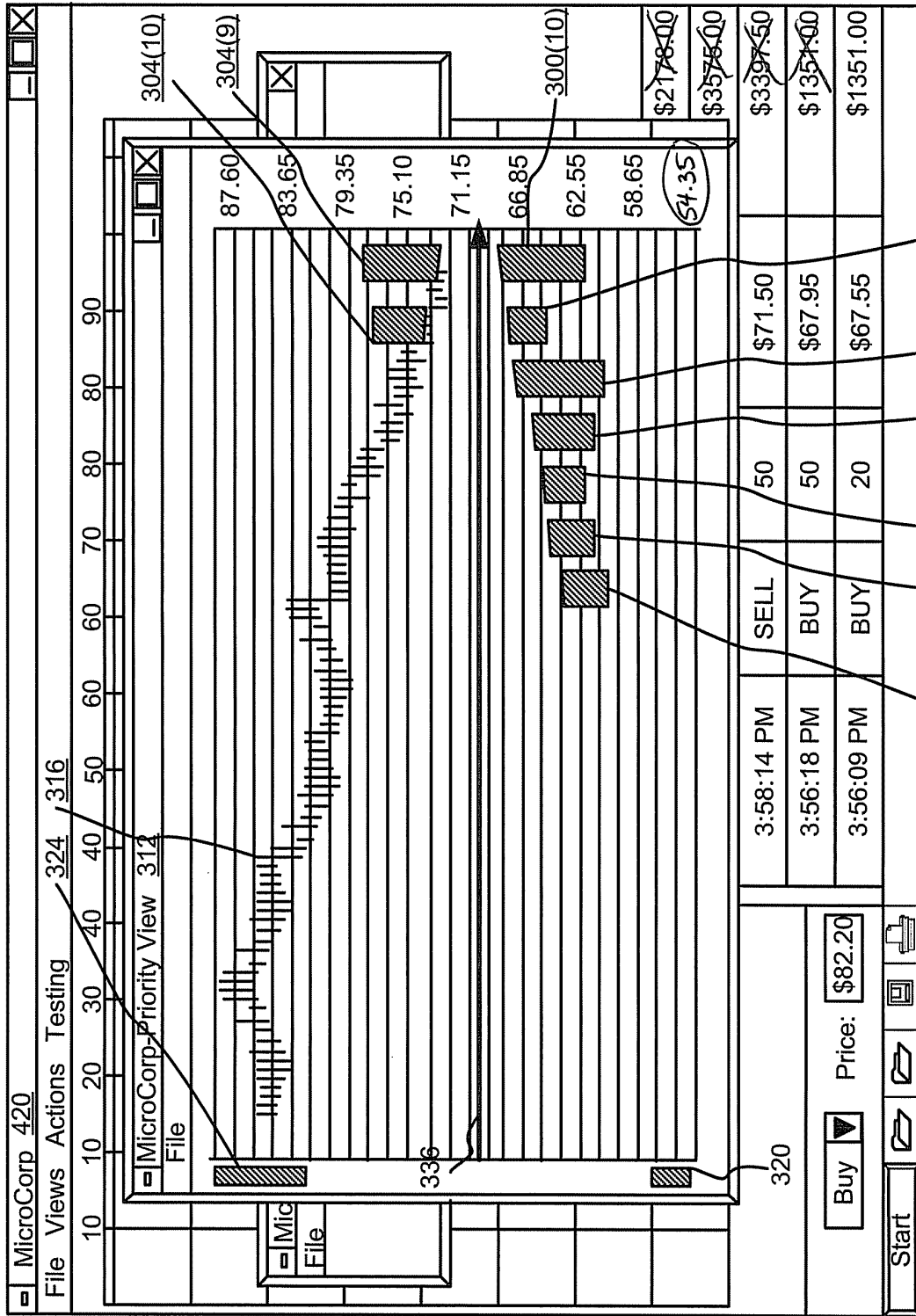


FIG. 3A



2178.00  
 3397.50  
 3397.50

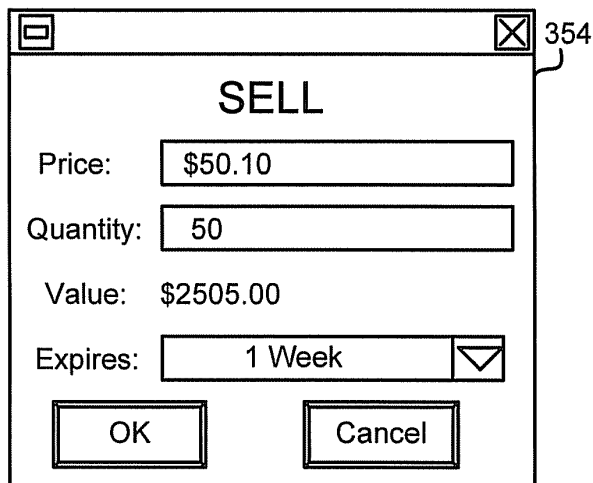
FIG. 3B



A dialog box titled "BUY" with a close button (X) in the top right corner, labeled 350. The dialog contains the following fields and controls:

- Price:
- Quantity:
- Value: \$1436.00
- Expires:  with a dropdown arrow.
- Buttons: "OK" and "Cancel".

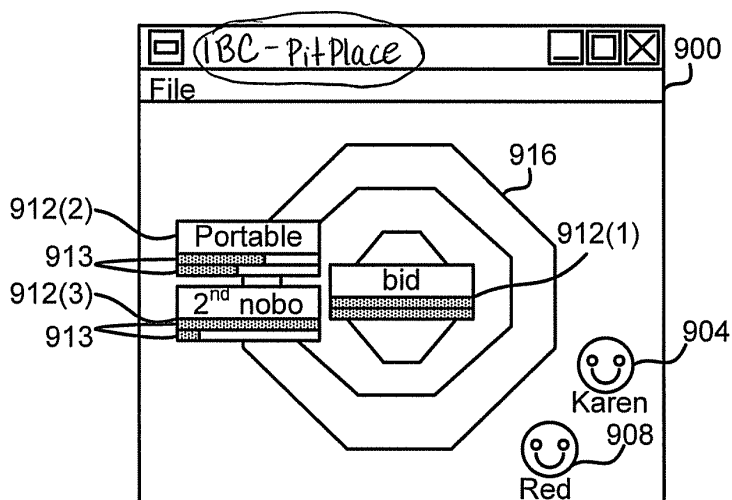
FIG. 3D



A dialog box titled "SELL" with a close button (X) in the top right corner, labeled 354. The dialog contains the following fields and controls:

- Price:
- Quantity:
- Value: \$2505.00
- Expires:  with a dropdown arrow.
- Buttons: "OK" and "Cancel".

FIG. 3E



A screenshot of a software application window titled "IBC - PitPlace" with a "File" menu. The window contains a large octagonal graphic with several nested octagons, labeled 916. The innermost octagon contains the text "bid". To the left of the "bid" text are three stacked rectangular boxes, each with a hatched pattern and a label:

- Top box: "Portable" (labeled 912(2))
- Middle box: "2<sup>nd</sup> nobo" (labeled 912(3))
- Bottom box: "bid" (labeled 912(1))

Each of these three boxes is also labeled with 913. In the bottom right corner of the window, there are two smiley face icons representing users:

- A larger smiley face labeled "Karen" (labeled 904).
- A smaller smiley face labeled "Red" (labeled 908).

The window title bar includes standard minimize, maximize, and close buttons, and the entire window is labeled 900.

FIG. 9

Annotated Sheet  
7,412,416  
Art Unit 3693

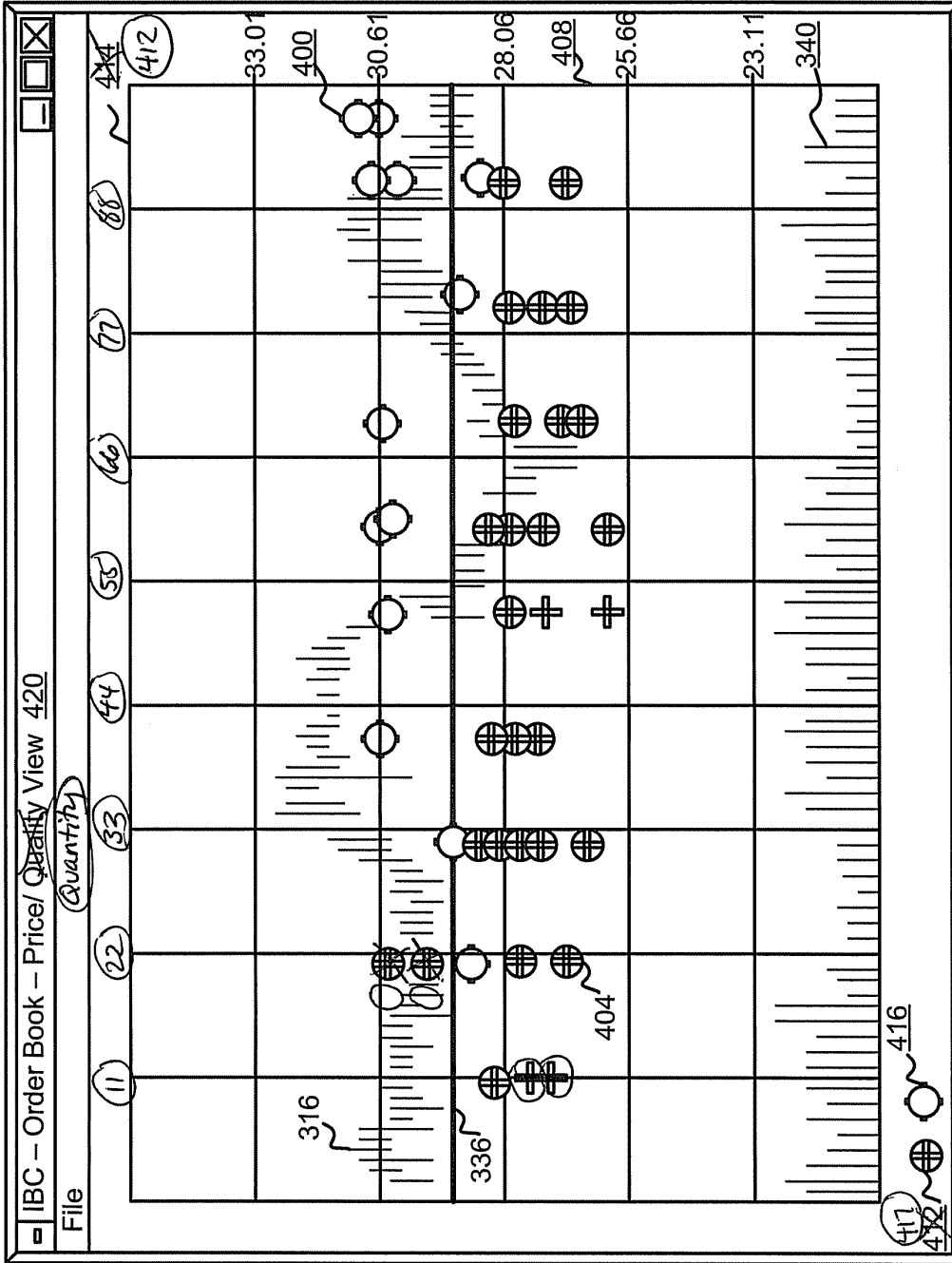


FIG. 4

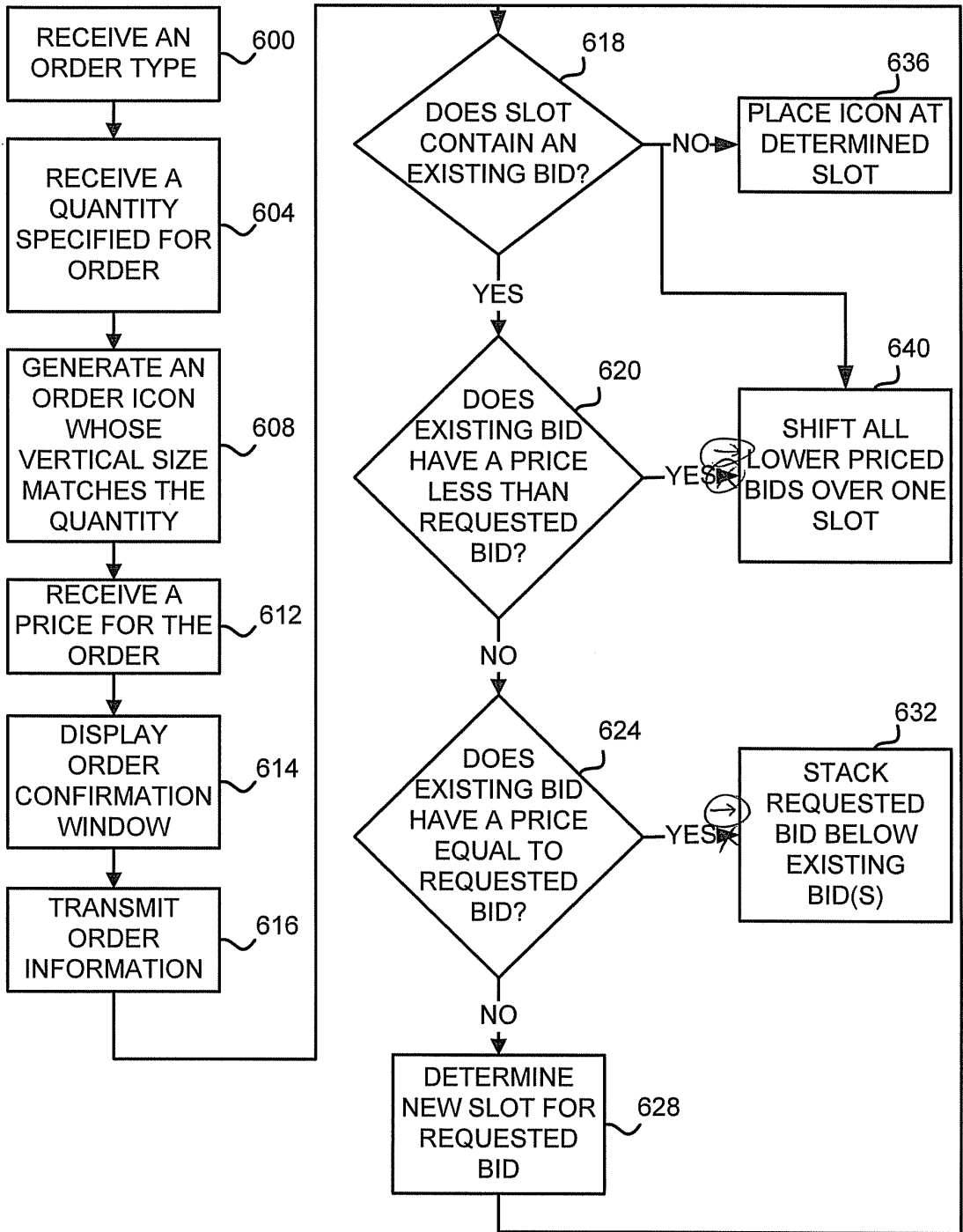


FIG. 6

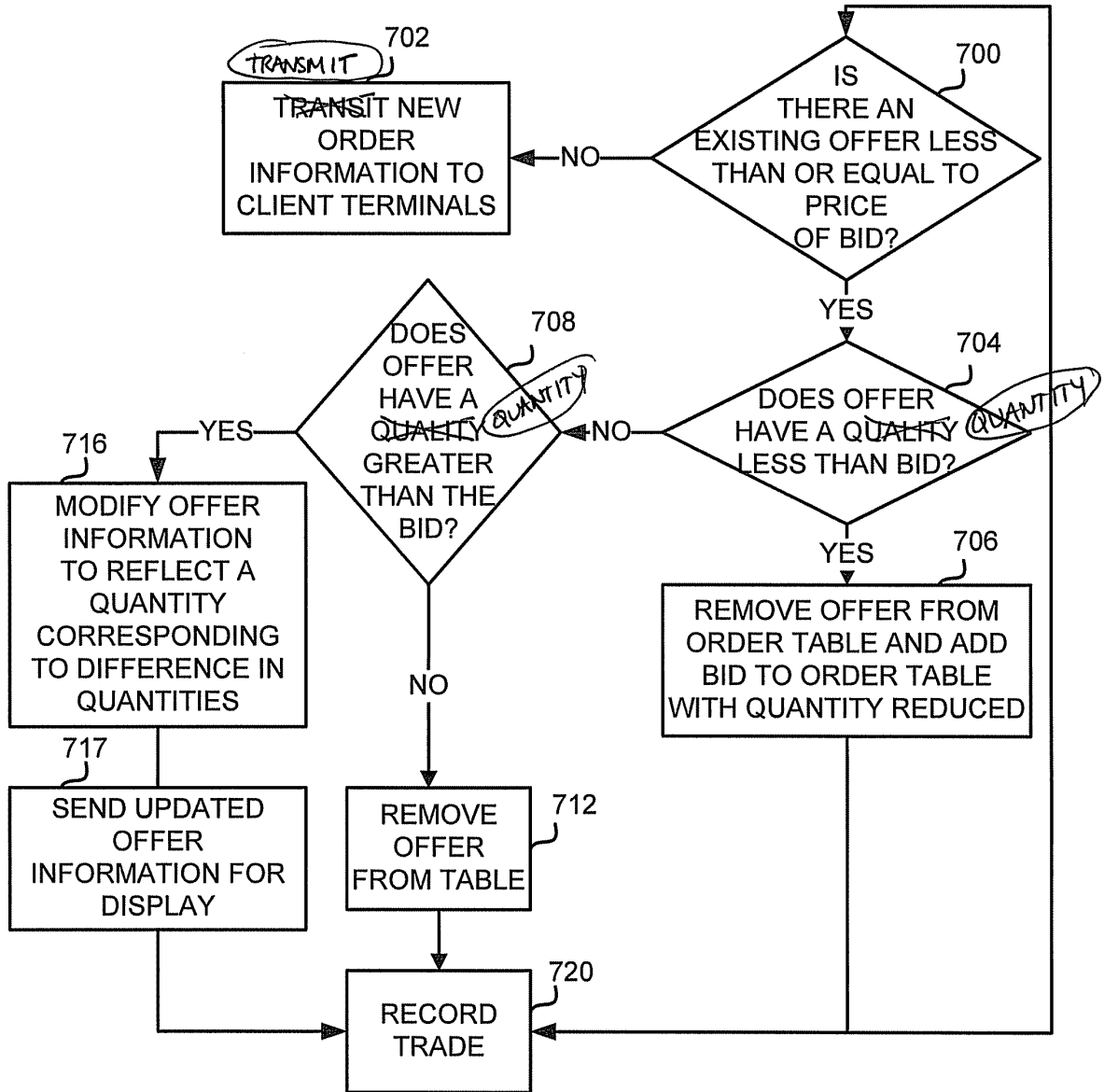


FIG. 7

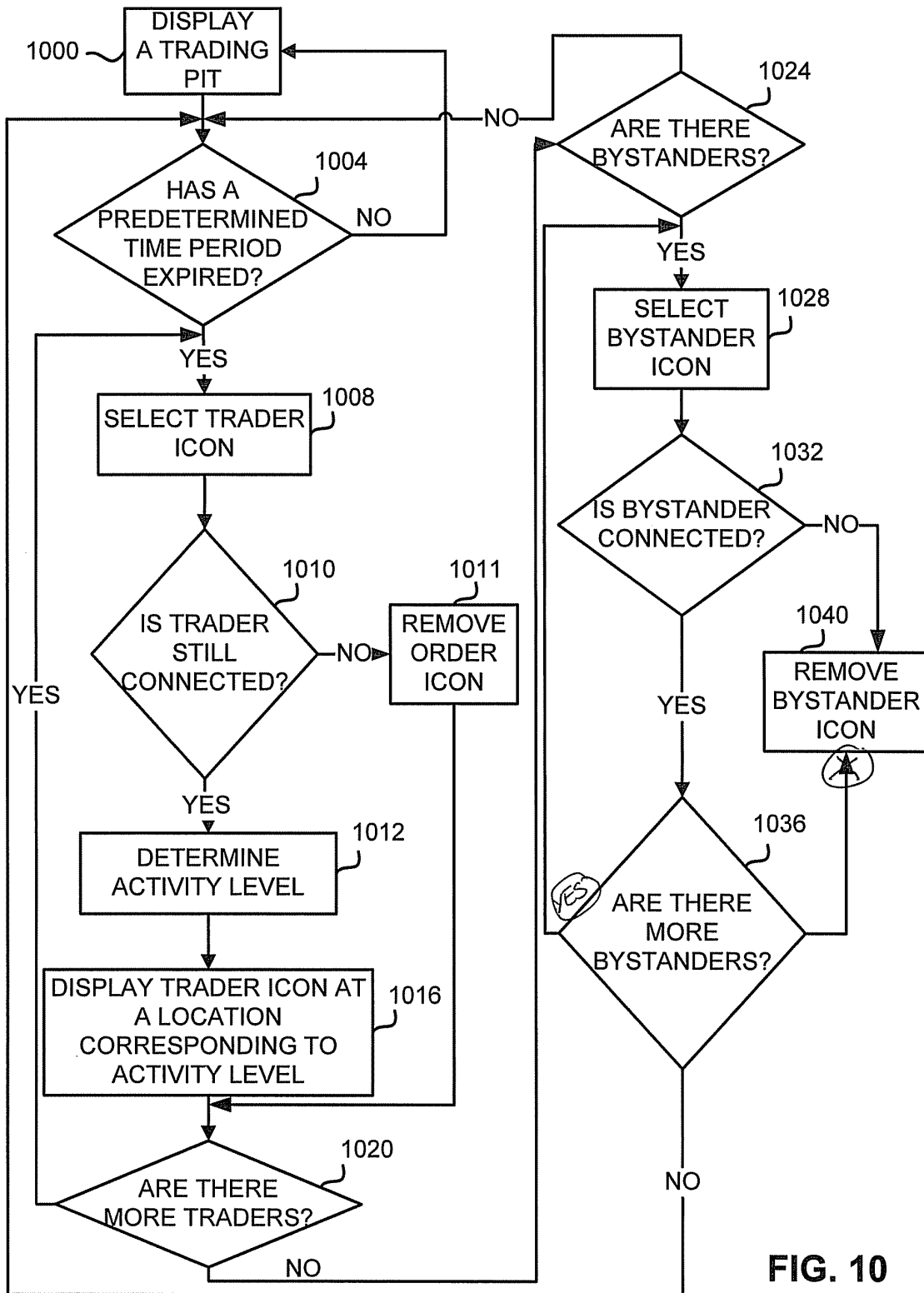


FIG. 10

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417522			
<b>Filing Date:</b>	03-May-2006			
<b>Title of Invention:</b>	USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM			
<b>First Named Inventor/Applicant Name:</b>	Richard W. Friesen			
<b>Filer:</b>	Jori Rebecca Fuller			
<b>Attorney Docket Number:</b>	03-1106-Z			
Filed as Large Entity				
<b>Utility under 35 USC 111(a) Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
<b>Post-Allowance-and-Post-Issuance:</b>				
Certificate of correction	1811	1	100	100
<b>Extension-of-Time:</b>				



Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>100</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	7823354
<b>Application Number:</b>	11417522
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8225
<b>Title of Invention:</b>	USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM
<b>First Named Inventor/Applicant Name:</b>	Richard W. Friesen
<b>Customer Number:</b>	39310
<b>Filer:</b>	Jori Rebecca Fuller
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03-1106-Z
<b>Receipt Date:</b>	16-JUN-2010
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	11:43:41
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$100
RAM confirmation Number	8873
Deposit Account	132490
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

- Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)
- Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

**File Listing:**

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Certificate of Correction	03-1106-Z_Request.pdf	68019	no	2
			d124672f7bb8bca8ea4453c46fb6df59a466fc52		
<b>Warnings:</b>					
<b>Information:</b>					
2	Request for Certificate of Correction	03-1106-Z_Certificate.pdf	1041082	no	9
			82880d091603b7b9271263d1decaf2e3280185f6		
<b>Warnings:</b>					
<b>Information:</b>					
3	Drawings-only black and white line drawings	03-1106-Z_Replacement_Figures.pdf	92263	no	8
			5726ab4ead44c4fbd5d131566b036646924a7a07		
<b>Warnings:</b>					
<b>Information:</b>					
4	Drawings-only black and white line drawings	03-1106-Z_Annotated_Figs.pdf	921725	no	8
			f3177b98b4456fa794f7dce64ca471eff808f7b1		
<b>Warnings:</b>					
<b>Information:</b>					
5	Fee Worksheet (PTO-875)	fee-info.pdf	30025	no	2
			c7ec1f400d6d0f5374261e4f3c0d419da310f8b0		
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			2153114		

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

<b>TO:</b>  COMMISSIONER OF PATENTS AND TRADEMARKS (USPTO) P.O. Box 1450 Alexandria, VA 22313-1450	<b>REPORT ON THE                  FILING OF DETERMINATION OF AN                  ACTION REGARDING A PATENT OR                  TRADEMARK</b>
---	--

In compliance with 35 U.S.C. 290 and/or 15 U.S.C. 1116 you are hereby advised that a court action has been filed on the following patent(s)/trademark(s) in the U.S. District Court:

<b>DOCKET NO.</b> 10-cv-00721	<b>DATE FILED:</b> 2/3/2010	<b>UNITED STATES DISTRICT COURT,                  NORTHERN DISTRICT OF ILLINOIS,                  EASTERN DIVISION</b>
<b>Plaintiff(s):</b> Trading Technologies International, Inc.	<b>Defendant(s):</b> IBG LLC et al	
<b>PATENT NUMBER</b>	<b>DATE OF PATENT</b>	<b>HOLDER OF PATENT OR TRADEMARK</b>
On Next Page <i>p-2</i>		

In the above-entitled case, the following trademarks(s) have been included:

<b>DATE INCLUDED</b>	<b>INCLUDED BY</b> <input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading		
<b>TRADEMARK NUMBER</b>	<b>DATE OF TRADEMARK</b>	<b>HOLDER OF PATENT OR TRADEMARK</b>	
1.			
2.			
3.			

In the above-entitled case, the following decision has been rendered or judgment issued

<b>DECISION/JUDGMENT :</b>		
<b>CLERK - MICHAEL W. DOBBINS</b>	<b>DEPUTY CLERK:</b>  /s/ Brenda Rinozzi	<b>DATE:</b>  February 4, 2010

PATENT NUMBER	DATE OF PATENT	HOLDER OF PATENT OR TRADEMARK
6,766,304 —	7/20/2004	Gary Allan Kemp, II Jens-Uwe Schluetter Harris Brumfield
6,772,132 —	8/3/2004	Gary Allan Kemp, II Jens-Uwe Schluetter Harris Brumfield
7,212,999 —	5/1/2007	Richard W. Friesen Peter C. Hart
7,412,416 —	8/12/2008	Richard W. Friesen Peter C. Hart
7,533,056 —	5/12/2009	Richard W. Friesen Peter C. Hart

<b>TO:</b>	
COMMISSIONER OF PATENTS AND TRADEMARKS (USPTO) P.O. Box 1450 Alexandria, VA 22313-1450	<b>REPORT ON THE                  FILING OF DETERMINATION OF AN                  ACTION REGARDING A PATENT OR                  TRADEMARK</b>

In compliance with 35 U.S.C. 290 and/or 15 U.S.C. 1116 you are hereby advised that a court action has been filed on the following patent(s)/trademark(s) in the U.S. District Court:

<b>DOCKET NO.</b>  10cv720	<b>DATE FILED</b>  2/3/2010	<b>UNITED STATES DISTRICT COURT,                  NORTHERN DISTRICT OF ILLINOIS,                  EASTERN DIVISION</b>
<b>PLAINTIFFS</b>  Trading Technologies International, Inc.		<b>DEFENDANTS</b>  FuturePath Trading, LLC
<b>TRADEMARK NUMBER</b>	<b>DATE OF TRADEMARK</b>	<b>HOLDER OF PATENT OR TRADEMARK</b>
7,212,999	5/1/2007	<b>Richard W. Friesen &amp; Peter C. Hart</b>
7,412,416	8/12/2008	<b>Richard W. Friesen &amp; Peter C. Hart</b>
7,533,056	5/12/2009	<b>Richard W. Friesen &amp; Peter C. Hart</b>

In the above-entitled case, the following trademarks(s) have been included:

<b>DATE INCLUDED</b>	<b>INCLUDED BY</b>		
	<input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading		
<b>TRADEMARK NUMBER</b>	<b>DATE OF TRADEMARK</b>	<b>HOLDER OF PATENT OR TRADEMARK</b>	
1.			
2.			
3.			

In the above-entitled case, the following decision has been rendered or judgment issued:

<b>DECISION/JUDGMENT:</b>		
<b>CLERK</b>  MICHAEL W. DOBBINS	<b>(BY) DEPUTY CLERK:</b>  /s/ Elisa Perez	<b>DATE:</b>  February 5, 2010



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,522	08/12/2008	7412416	03-1106-Z	8225

39310 7590 07/23/2008  
MBHB/TRADING TECHNOLOGIES  
300 SOUTH WACKER DRIVE  
SUITE 3200  
CHICAGO, IL 60606

**ISSUE NOTIFICATION**

The projected patent number and issue date are specified above.

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

The Patent Term Adjustment is 0 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

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) WEB site (<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 (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (571)-272-4200.

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

Richard W. Friesen, Fairfax, CA;  
Peter C. Hart, San Rafael, CA;





UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z	8225
39310 7590 07/09/2008 MBHB/TRADING TECHNOLOGIES 300 SOUTH WACKER DRIVE SUITE 3200 CHICAGO, IL 60606			EXAMINER BORLINGHAUS, JASON M	
			ART UNIT 3693	PAPER NUMBER
			MAIL DATE 07/09/2008	DELIVERY MODE PAPER

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

The time period for reply, if any, is set in the attached communication.

<b>Supplemental Notice of Allowability</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	11/417,522	FRIESEN ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	JASON M. BORLINGHAUS	3693	

**-- 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 5/21/08.
2.  The allowed claim(s) is/are 59-82.
3.  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: \_\_\_\_\_.

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.**

4.  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.
5.  CORRECTED DRAWINGS ( as "replacement sheets") 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./Mail Date \_\_\_\_\_.
  - (b)  including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.

**Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6.  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)   | 5. <input type="checkbox"/> Notice of Informal Patent Application                       |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 6. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____ . |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date _____    | 7. <input checked="" type="checkbox"/> Examiner's Amendment/Comment                     |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material | 8. <input type="checkbox"/> Examiner's Statement of Reasons for Allowance               |
|  | 9. <input type="checkbox"/> Other _____.  |

### EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a filing by the attorney of record on 5/21/2008.

The amendments do not change the scope of the invention but merely correct misprints and typographical errors contained within the existing specification.

Please amend the paragraph beginning on page 8, line 12 and ending on line 23 as follows:

Figure 2 illustrates a more specific embodiment of the transaction manager 100. The clients 104 are coupled to log-in manager 204 to provide to each client access to the transaction manager 100, and to allow each client 104 to designate one or more trading pits 220 to which to be connected. The transaction manager 100 hosts one or more transaction ~~processors~~servers 200. Each transaction ~~processor~~server 200 is responsible for the trading of a specified item, essentially supporting a specific trading pit. The summary information agents 224 for each transaction ~~processor~~server 200 provide a current status of the activity of each pit 220 to a trader connected to the log-in manager 204. The trader can select a pit 220 to which to be connected based upon the summary information. Once the log-in process is complete, the clients 104 are coupled to a registration server 212 for the specified trading pit 220. Registration for each pit 220 requires the client 104 to provide an access key that it received from the login manager 204 during log in.

Please amend the paragraph beginning on page 9, line 7 and ending on line 21 as follows:

Art Unit: 3693

Each pit 220 includes a transaction server 200. The transaction server 200 receives orders, matches bids and offers (when a bid and offer are matched it is called a trade or execution) and routes information to both the database 208 and the client terminals 104 connected to the trading pit 220. The client terminals 104 generate icons for bid and offer orders (called bid and offer icons), historical charts and trader icons, and determine the placement of bid and offer icons and trader icons responsive to the information received from the transaction server 200. The database 208 to which the transaction server ~~[[220]]~~ 200 is coupled stores the information corresponding to each trader, information on every order submitted over a period (such as start of trading days), information on every trade over a period (such as last 180 days) and the information corresponding to the item being traded. Each trader may have information associated with the trader's account stored, including a name, e-mail account, address, phone number, personal value quantifying metric or analytic activity level history, and various other information which is unique to the individual trader and which may be used by the present invention to create a virtual trading environment.

Please amend the paragraph beginning on page 13, line 3 and ending on page 14, line 2 as follows:

The trader using the client terminal 104 in accordance with the present invention, is shown all of the outstanding orders 300, 304 for the item being traded. This is one significant difference between the present invention and conventional systems because a trader using a system in accordance with the present invention is able to view trends in the bids and offers in addition to the buying and selling of the item being traded. For example, in Figure 3A, a trader can quickly analyze the outstanding orders 300, 304, and determine that there are an almost equal number of bids ~~300(8)~~ as offers ~~[[~~(9)~~]]~~ 304(8). Thus, the trader may infer that the market is stable, and the value for the item will not be dramatically driven up or down in the near future. Accordingly, the trader may decide to take no action. However, as shown in FIG. 3b, if demand builds through an increased number of bids being made, as shown by the display of an increased number of bid icons 300, or bids are being made for large quantities, as shown by the display of bid icons 300 having a greater size, and if supply recedes as indicated by the display of a reduced number of offers icons 304, the trader can anticipate that the value for the item will increase. Consequently, the trader will place bids for the currently low valued offers 304. Thus, by viewing all outstanding offer icons 304 and bid icons 300 as they are made on an item, the trader can anticipate the market and quickly adjust his or her trading plans to take advantage of the information. In contrast, in conventional systems, the trader only knows the last highest bid and the last ~~highest~~-lowest offer. In the example of Figure 3A, the trader would only know the existence of bid ~~300(9)~~ 300(1) and offer 304(1). Only the market maker would know of the existence of the other bids and offers. Individual traders would therefore be unaware of trends in bidding, and

experience greater difficulty in anticipating the market.

Please amend the paragraph beginning on page 14, line 13 and ending on page 15, line 9 as follows:

The value axis 332 indicates the value at which an item is being traded. This value may represent different qualitative measures for an item, such as the raw price for the item; for bonds, the value could be the cost for the bond or the implied interest rate for the bond, or the value be used as a measure for an implied volatility of the item, for example, a generic measurement of the relative expense of an option. Each trader can use their own value scale. For example, one trader may use a bond cost as an axis of values and another may use the implied interest rate of the bond. Regardless of a trader's choice of value, the different orders are displayed on the trader's screen in terms of the value the trader ~~[[is]]~~ has chosen. Additionally, the value scales are completely customizable. For example, a gold arbitrageur could create a scale that measures the difference between the futures price of the metal less the spot cash price of the metal. The arbitrageur could then apply the cost of carry, including insurance and storage, to the future/cash price difference to generate an implied interest rate for the gold. Thus, the value axis for the arbitrageur would be an interest rate. In another example a trader who is interested in trading soybean oil could buy and sell soybeans, but, by using a value axis which accounts for the current cost of crushing soybeans, storage of soybeans, transport, etc, can be actually trading in soybean oil. Thus different traders in the same trading pit 220 would see the same bid and offers but organized with respect to their own specific value axis. Thus, the present invention provides enormous flexibility in constructing a view of an item's value which is directly representative of the trader's own interest in the item.

Please amend the paragraph beginning on page 19, line 11 and ending on page 20, line 4 as follows:

Figure 4 illustrates an alternate view of the user interface in accordance with the present invention. The value/quantity view 420 illustrates the market for the item using a first axis of values 408 and a second axis 412 for quantity. Thus, the location of each offer icon 400 and each bid icon 404 represents the value for the offer or bid and the quantity for which the offer or bid is made. Optionally, the action line 336 is also displayed, as well as the contextual data. The alternate view provides a different intuitive perspective on the state of the market. By providing alternate views, as shown in Figure 3C, the electronic trading system of the present invention allows the different preferences of different traders to be met. Orders in this view are placed by selecting an offer token 416 or a bid token ~~[[42]]~~ 417 and moving the token to a location which

Art Unit: 3693

corresponds to the desired quantity and value. If the trader wishes to purchase immediately, the trader can simply drag a bid token ~~[[442]]~~ 417 to the location directly over any offer token, and a window pops up displaying a bid order with value and quantity equal to that of the offer token. If the trader wishes to sell immediately, the trader can simply drag an offer token 416 to the location directly over any bid token, and a window pops up displaying an offer order with value and quantity equal to that of the bid token. The trader can then execute the transaction.

Please amend the paragraph beginning on page 21, line 9 and ending on line 22 as follows:

Once the server 200 transmits updated order information to a client terminal 104, the client terminal 104, in the priority view, determines 618 whether a slot is open adjacent an existing order which has a lower value, if the order is a bid, or a higher value, if the order is an offer. In the priority view 312, the horizontal axis is divided into slots, each slot having a width equal to an order icon 300, 304 and each slot separated by a standard set-off unit. Incoming orders are sorted by the value of the order. For offers, the offers with the lowest values are positioned closest to the axis of values 332, and for bids, the bids with the highest values are positioned closest to the axis of values 332. When a new order is received, the client terminal 104 re-sorts the outstanding orders and places the order icons 300, 304 in the appropriate positions. If a new order is equal to an existing order of the same type, the order is stacked onto the existing ~~order~~ order. Figure 6 illustrates a more detailed methodology of the sorting mechanism, using the example of placing a new bid. However, the methodology is equally applicable to placing a new offer.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JASON M. BORLINGHAUS whose telephone number is (571)272-6924. The examiner can normally be reached on Monday - Friday; 9am - 5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James A. Kramer can be reached on (571)272-6783. The fax phone

Application/Control Number: 11/417,522  
Art Unit: 3693

Page 6

number for the organization where this application or proceeding is assigned is 571-273-8300.

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). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/James A. Kramer/  
Supervisory Patent Examiner, Art Unit 3693

/Jason M Borlinghaus/  
Examiner, Art Unit 3693

July 2, 2008

**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** **(571)-273-2885**

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 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: Use Block 1 for any change of address)

39310 7590 03/28/2008  
**MBHB/TRADING TECHNOLOGIES**  
**300 SOUTH WACKER DRIVE**  
**SUITE 3200**  
**CHICAGO, IL 60606**

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 (571) 273-2885, on the date indicated below.

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z	8225

TITLE OF INVENTION: USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1440	\$300	\$0	\$1740	06/30/2008

EXAMINER	ART UNIT	CLASS-SUBCLASS
BORLINGHAUS, JASON M	3693	705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).  
 Change of correspondence address (or Change 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 McDonnell Boehnen  
 2 Hulbert & Berghoff LLP  
 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. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE Trading Technologies International, Inc. (B) RESIDENCE: (CITY and STATE OR COUNTRY) Chicago, IL

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 submitted:

Issue Fee  
 Publication Fee (No small entity discount permitted)  
 Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

A check is enclosed.  
 Payment by credit card. Form PTO-2038 is attached.  
 The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 132490 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.  b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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.

Authorized Signature /Joseph A. Herndon/ Date May 21, 2008  
 Typed or printed name Joseph A. Herndon Registration No. 50469

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, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. 03-1106-Z)

Appl. No. : 11/417,522 Confirmation No. 8225  
Applicant: : Friesen  
Filed : 05/03/2006  
TC/A.U. : 3693  
Examiner : Daniel Lawson Greene

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

**AMENDMENT UNDER CFR § 1.312**

Dear Examiner,

Applicants submit the present Amendment under CFR § 1.312 after the mailing of the Notice of Allowance.

**Amendments to the Specification** begin on page 2 on this paper.

**Remarks/Arguments** begin on page 7 of this paper.

## AMENDMENTS TO THE SPECIFICATION

- Please amend the paragraph beginning on page 8, line 12 and ending on line 23 as follows:

Figure 2 illustrates a more specific embodiment of the transaction manager 100. The clients 104 are coupled to log-in manager 204 to provide to each client access to the transaction manager 100, and to allow each client 104 to designate one or more trading pits 220 to which to be connected. The transaction manager 100 hosts one or more transaction ~~processors~~ servers 200. Each transaction ~~processor~~ server 200 is responsible for the trading of a specified item, essentially supporting a specific trading pit. The summary information agents 224 for each transaction ~~processor-220~~ server 200 provide a current status of the activity of each pit 220 to a trader connected to the log-in manager 204. The trader can select a pit 220 to which to be connected based upon the summary information. Once the log-in process is complete, the clients 104 are coupled to a registration server 212 for the specified trading pit 220. Registration for each pit 220 requires the client 104 to provide an access key that it received from the login manager 204 during log in.

- Please amend the paragraph beginning on page 9, line 7 and ending on line 21 as follows:

Each pit 220 includes a transaction server 200. The transaction server 200 receives orders, matches bids and offers (when a bid and offer are matched it is called a trade or execution) and routes information to both the database 208 and the client terminals 104 connected to the trading pit 220. The client terminals 104 generate icons for bid and offer orders (called bid and offer icons), historical charts and trader icons, and determine the placement of bid and offer icons and trader icons responsive to the information received from the transaction server 200. The database 208 to which the transaction server ~~[[220]]~~ 200 is coupled stores the information corresponding to each trader, information on every order submitted over a period (such as start of trading days), information on every trade over a period (such as last 180 days) and the

information corresponding to the item being traded. Each trader may have information associated with the trader's account stored, including a name, e-mail account, address, phone number, personal value quantifying metric or analytic activity level history, and various other information which is unique to the individual trader and which may be used by the present invention to create a virtual trading environment.

- Please amend the paragraph beginning on page 13, line 3 and ending on page 14, line 2 as follows:

The trader using the client terminal 104 in accordance with the present invention, is shown all of the outstanding orders 300, 304 for the item being traded. This is one significant difference between the present invention and conventional systems because a trader using a system in accordance with the present invention is able to view trends in the bids and offers in addition to the buying and selling of the item being traded. For example, in Figure 3A, a trader can quickly analyze the outstanding orders 300, 304, and determine that there are an almost equal number of bids 300(8) as offers ~~[[~~(9)~~]]~~ 304(8). Thus, the trader may infer that the market is stable, and the value for the item will not be dramatically driven up or down in the near future. Accordingly, the trader may decide to take no action. However, as shown in FIG. 3b, if demand builds through an increased number of bids being made, as shown by the display of an increased number of bid icons 300, or bids are being made for large quantities, as shown by the display of bid icons 300 having a greater size, and if supply recedes as indicated by the display of a reduced number of offers icons 304, the trader can anticipate that the value for the item will increase. Consequently, the trader will place bids for the currently low valued offers 304. Thus, by viewing all outstanding offer icons 304 and bid icons 300 as they are made on an item, the trader can anticipate the market and quickly adjust his or her trading plans to take advantage of the information. In contrast, in conventional systems, the trader only knows the last highest bid and the last ~~highest~~ lowest offer. In the example of Figure 3A, the trader would only know the existence of bid ~~300(9)~~

300(1) and offer 304(1). Only the market maker would know of the existence of the other bids and offers. Individual traders would therefore be unaware of trends in bidding, and experience greater difficulty in anticipating the market.

- Please amend the paragraph beginning on page 14, line 13 and ending on page 15, line 9 as follows:

The value axis 332 indicates the value at which an item is being traded. This value may represent different qualitative measures for an item, such as the raw price for the item; for bonds, the value could be the cost for the bond or the implied interest rate for the bond, or the value be used as a measure for an implied volatility of the item, for example, a generic measurement of the relative expense of an option. Each trader can use their own value scale. For example, one trader may use a bond cost as an axis of values and another may use the implied interest rate of the bond. Regardless of a trader's choice of value, the different orders are displayed on the trader's screen in terms of the value the trader ~~[[is]]~~ has chosen. Additionally, the value scales are completely customizable. For example, a gold arbitrageur could create a scale that measures the difference between the futures price of the metal less the spot cash price of the metal. The arbitrageur could then apply the cost of carry, including insurance and storage, to the future/cash price difference to generate an implied interest rate for the gold. Thus, the value axis for the arbitrageur would be an interest rate. In another example a trader who is interested in trading soybean oil could buy and sell soybeans, but, by using a value axis which accounts for the current cost of crushing soybeans, storage of soybeans, transport, etc, can be actually trading in soybean oil. Thus different traders in the same trading pit 220 would see the same bid and offers but organized with respect to their own specific value axis. Thus, the present invention provides enormous flexibility in constructing a view of an item's value which is directly representative of the trader's own interest in the item.

- Please amend the paragraph beginning on page 19, line 11 and ending on page 20, line 4 as follows:

Figure 4 illustrates an alternate view of the user interface in accordance with the present invention. The value/quantity view 420 illustrates the market for the item using a first axis of values 408 and a second axis 412 for quantity. Thus, the location of each offer icon 400 and each bid icon 404 represents the value for the offer or bid and the quantity for which the offer or bid is made. Optionally, the action line 336 is also displayed, as well as the contextual data. The alternate view provides a different intuitive perspective on the state of the market. By providing alternate views, as shown in Figure 3C, the electronic trading system of the present invention allows the different preferences of different traders to be met. Orders in this view are placed by selecting an offer token 416 or a bid token ~~[[412]]~~ 417 and moving the token to a location which corresponds to the desired quantity and value. If the trader wishes to purchase immediately, the trader can simply drag a bid token ~~[[412]]~~ 417 to the location directly over any offer token, and a window pops up displaying a bid order with value and quantity equal to that of the offer token. If the trader wishes to sell immediately, the trader can simply drag an offer token 416 to the location directly over any bid token, and a window pops up displaying an offer order with value and quantity equal to that of the bid token. The trader can then execute the transaction.

- Please amend the paragraph beginning on page 21, line 9 and ending on line 22 as follows:

Once the server 200 transmits updated order information to a client terminal 104, the client terminal 104, in the priority view, determines 618 whether a slot is open adjacent an existing order which has a lower value, if the order is a bid, or a higher value, if the order is an offer. In the priority view 312, the horizontal axis is divided into slots, each slot having a width equal to an order icon 300, 304 and each slot separated by a standard set-off unit. Incoming orders are sorted by the value of the order. For offers, the offers with the lowest

values are positioned closest to the axis of values 332, and for bids, the bids with the highest values are positioned closest to the axis of values 332. When a new order is received, the client terminal 104 re-sorts the outstanding orders and places the order icons 300, 304 in the appropriate positions. If a new order is equal to an existing order of the same type, the order is stacked onto the existing ~~order~~ order. Figure 6 illustrates a more detailed methodology of the sorting mechanism, using the example of placing a new bid. However, the methodology is equally applicable to placing a new offer.

**REMARKS**

Applicants include above amendments to the specification to correct minor misprints in the specification. Applicants request entry of this Amendment under CFR § 1.312.

Respectfully submitted,

Date: May 21, 2008

By: /Joseph A. Herndon/  
Joseph A. Herndon  
Reg. No. 50,469

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417522			
<b>Filing Date:</b>	03-May-2006			
<b>Title of Invention:</b>	USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM			
First Named Inventor/Applicant Name:	Richard W. Friesen			
<b>Filer:</b>	Joseph Allen Herndon			
<b>Attorney Docket Number:</b>	03-1106-Z			
Filed as Large Entity				
<b>Utility Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
Utility Appl issue fee	1501	1	1440	1440
Publ. Fee- early, voluntary, or normal	1504	1	300	300



Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Extension-of-Time:</b>				
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>1740</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	3329763
<b>Application Number:</b>	11417522
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8225
<b>Title of Invention:</b>	USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM
<b>First Named Inventor/Applicant Name:</b>	Richard W. Friesen
<b>Customer Number:</b>	39310
<b>Filer:</b>	Joseph Allen Herndon
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03-1106-Z
<b>Receipt Date:</b>	21-MAY-2008
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	17:25:46
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 1740
RAM confirmation Number	2541
Deposit Account	132490
Authorized User	

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**File Listing:**

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Drawings-only black and white line drawings	03_1106_Z_Drawings.pdf	1104047 b198d640d6e0cc0b7c083b379ddb50f5ef227ce6	no	11
<b>Warnings:</b>					
<b>Information:</b>					
2	Miscellaneous Incoming Letter	03_1106_Z_Submission_Formal_Drawings.pdf	53024 107b261607d201c6c312e253a9f62e8c10c80108	no	1
<b>Warnings:</b>					
<b>Information:</b>					
3	Issue Fee Payment (PTO-85B)	03_1106_Z_Issue_Fee.pdf	200076 6740840a58becb67cha55fe618b877b67019b4ba	no	1
<b>Warnings:</b>					
<b>Information:</b>					
4		03_1106_Z_312_Amendment.pdf	87388 0e3e29d580be502bc3deafa19ce20b5f55f486c0	yes	7
	<b>Multipart Description/PDF files in .zip description</b>				
	<b>Document Description</b>	<b>Start</b>	<b>End</b>		
	Amendment after Notice of Allowance (Rule 312)	1	1		
	Specification	2	6		
	Applicant Arguments/Remarks Made in an Amendment	7	7		
<b>Warnings:</b>					
<b>Information:</b>					
5	Fee Worksheet (PTO-06)	fee-info.pdf	8287 77a0b2152dfa98a6a2adf8fe5517ea5ad88e5a10	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			1452822		

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

**New Applications Under 35 U.S.C. 111**

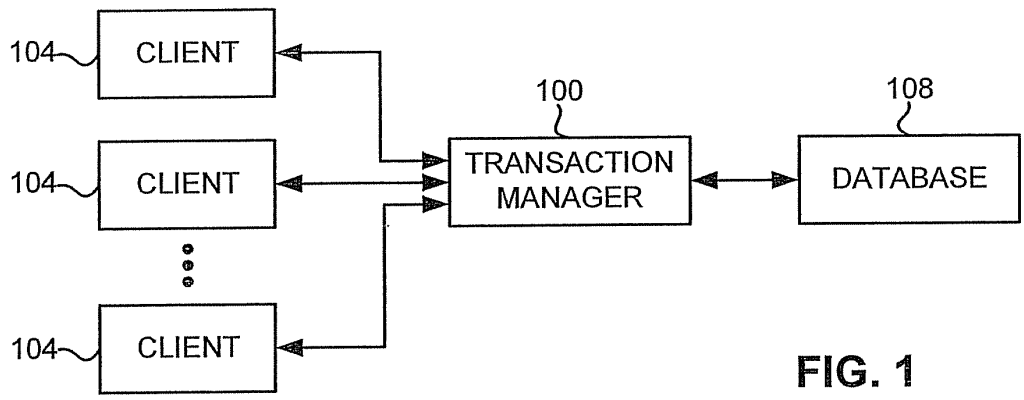
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

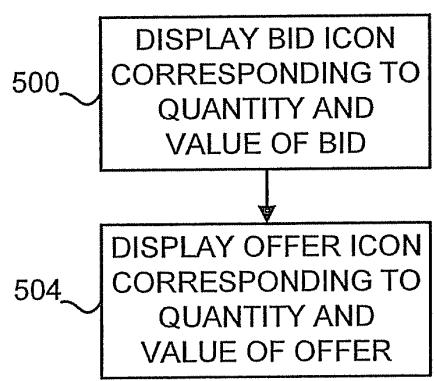
If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

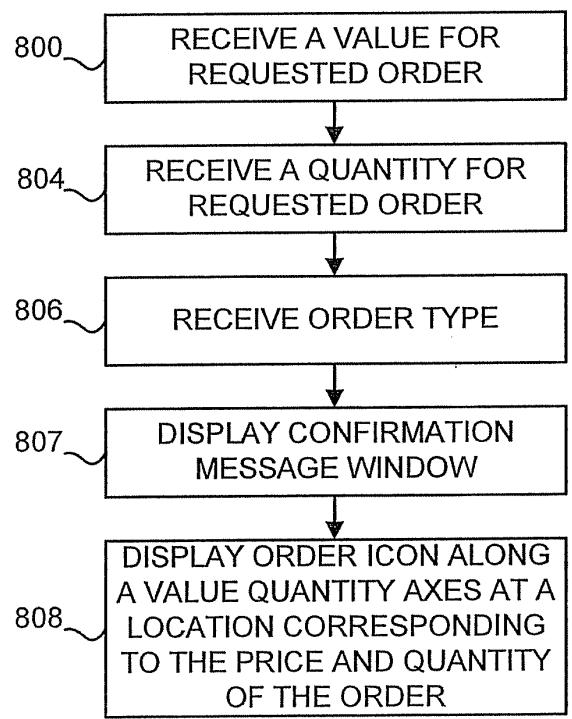
If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.



**FIG. 1**



**FIG. 5**



**FIG. 8**

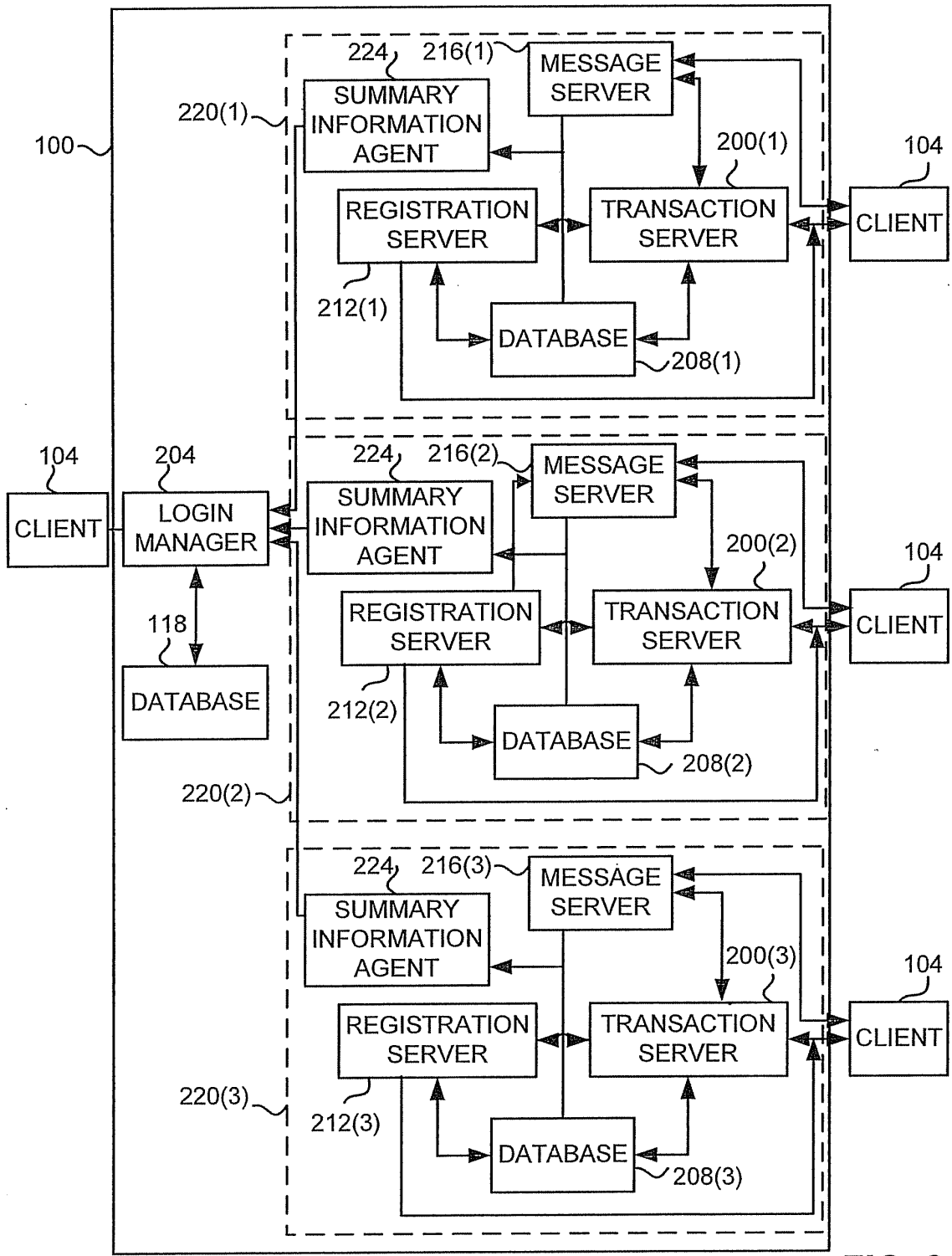


FIG. 2

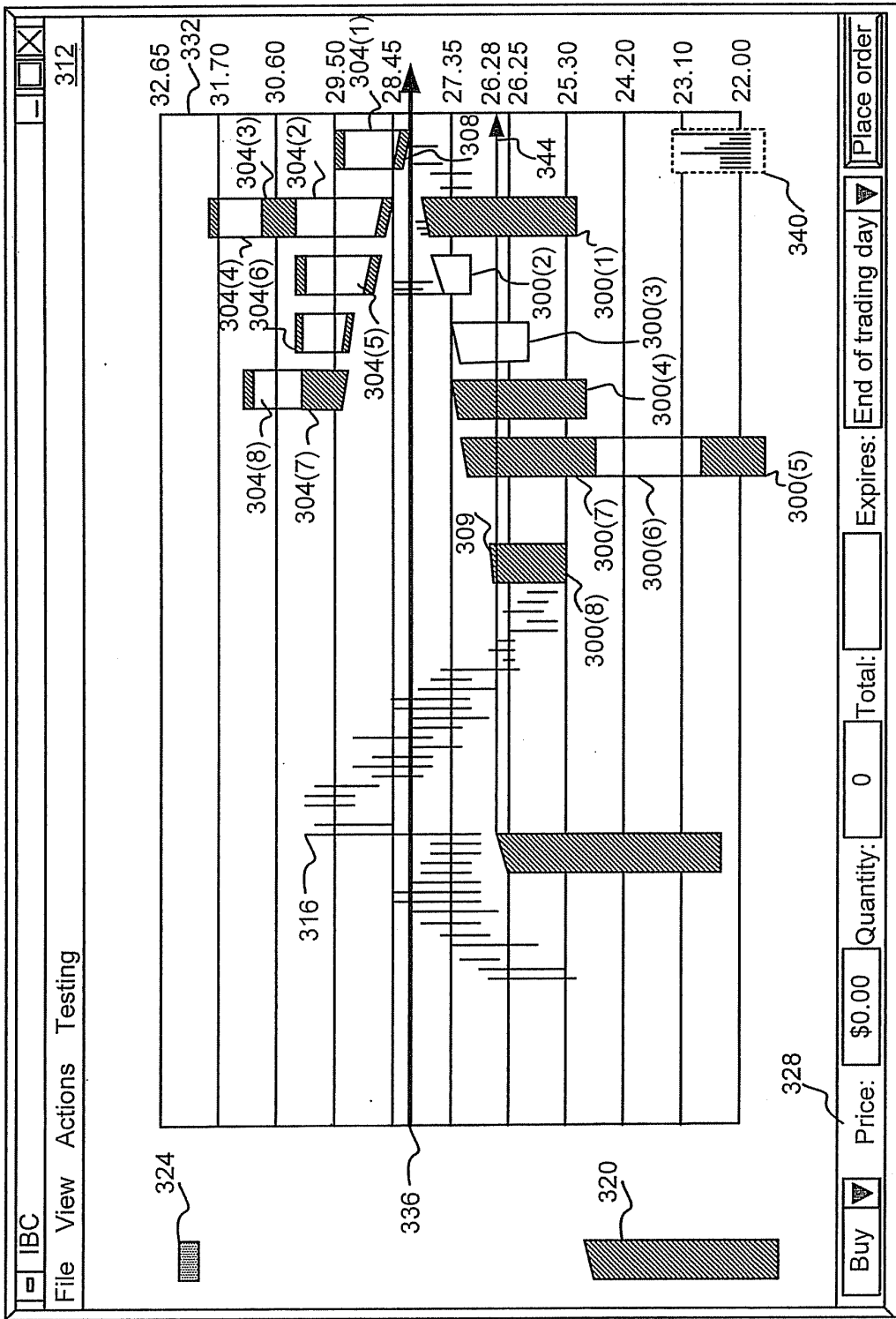
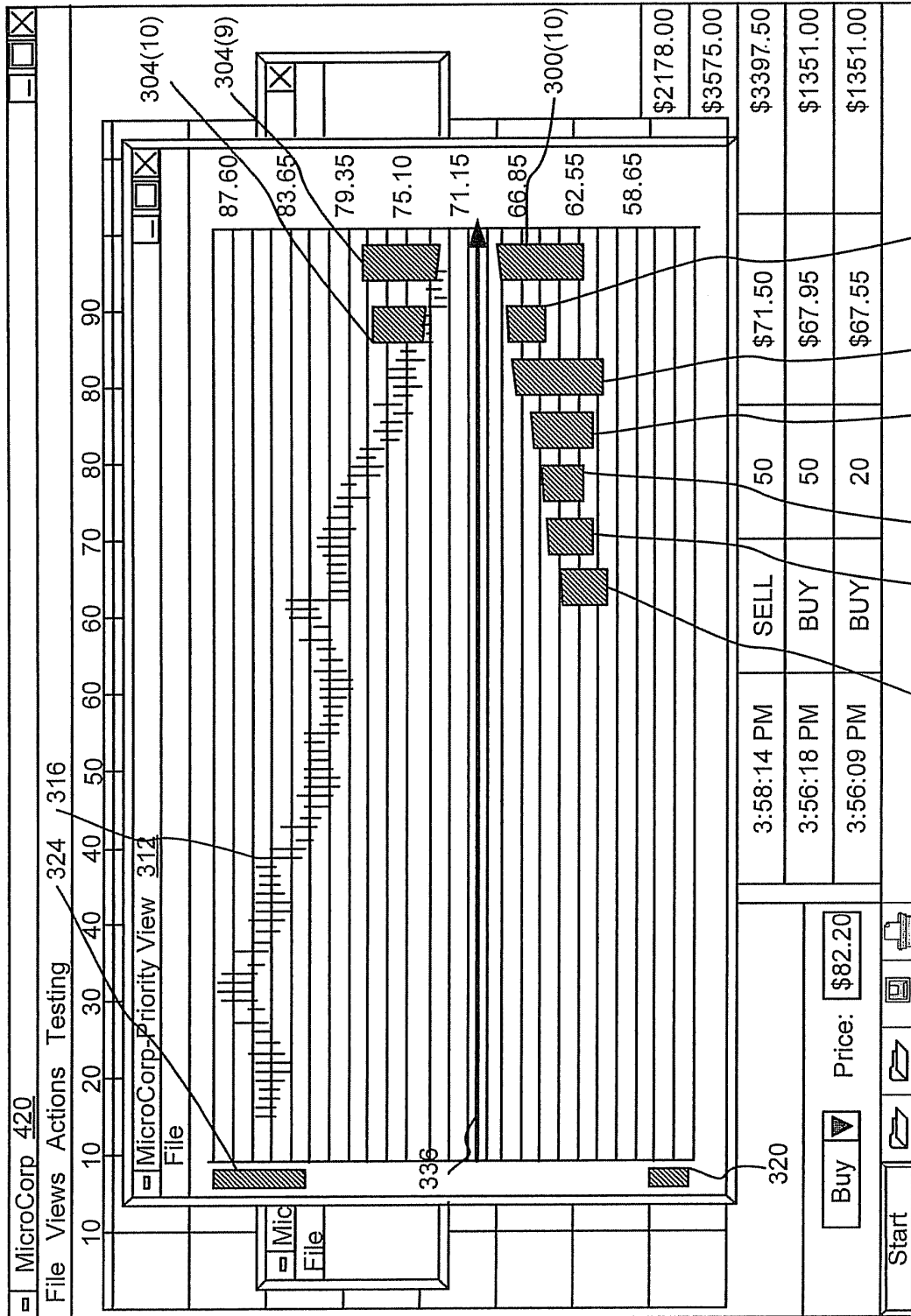


FIG. 3A



300(16) 300(15) 300(14) 300(13) 300(12) 300(11) **FIG. 3B**



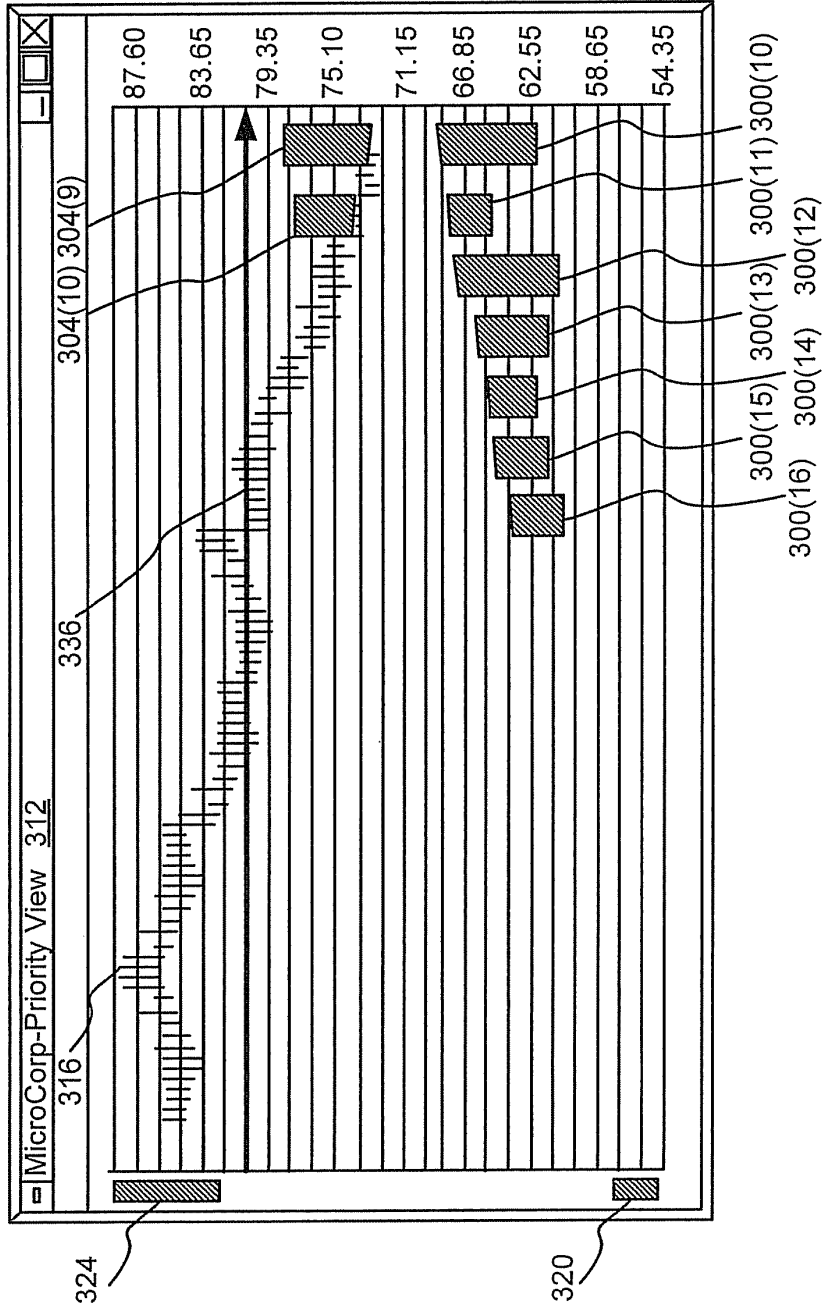
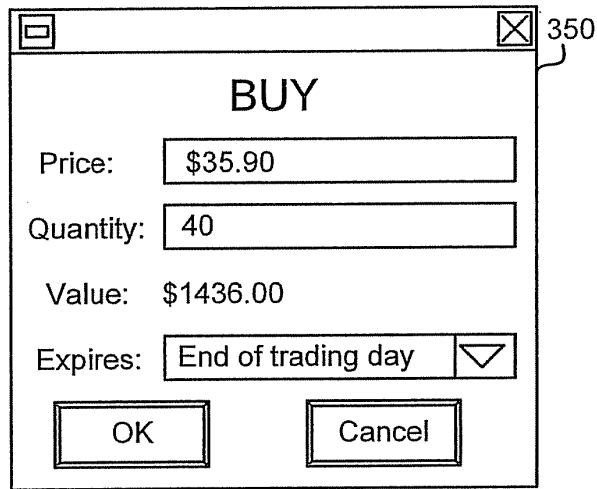


FIG. 3C



BUY

Price: \$35.90

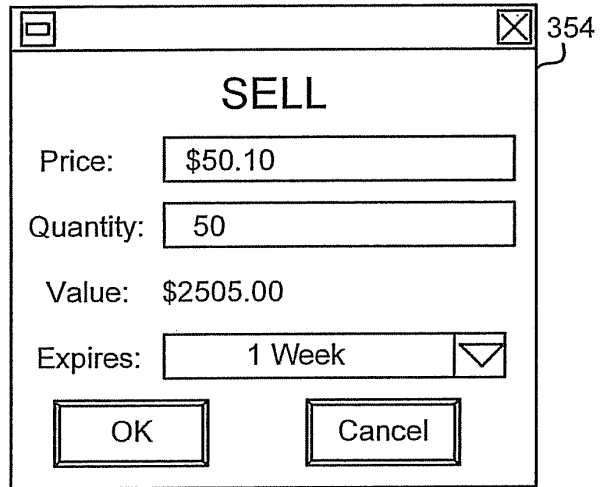
Quantity: 40

Value: \$1436.00

Expires: End of trading day

OK Cancel

FIG. 3D



SELL

Price: \$50.10

Quantity: 50

Value: \$2505.00

Expires: 1 Week

OK Cancel

FIG. 3E

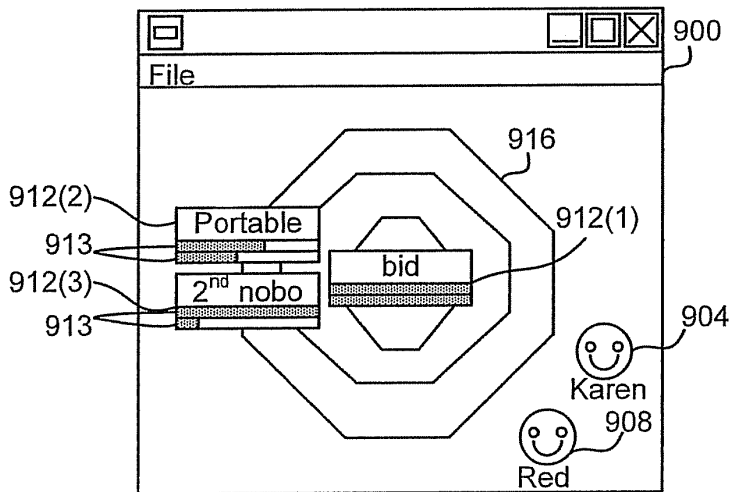


FIG. 9

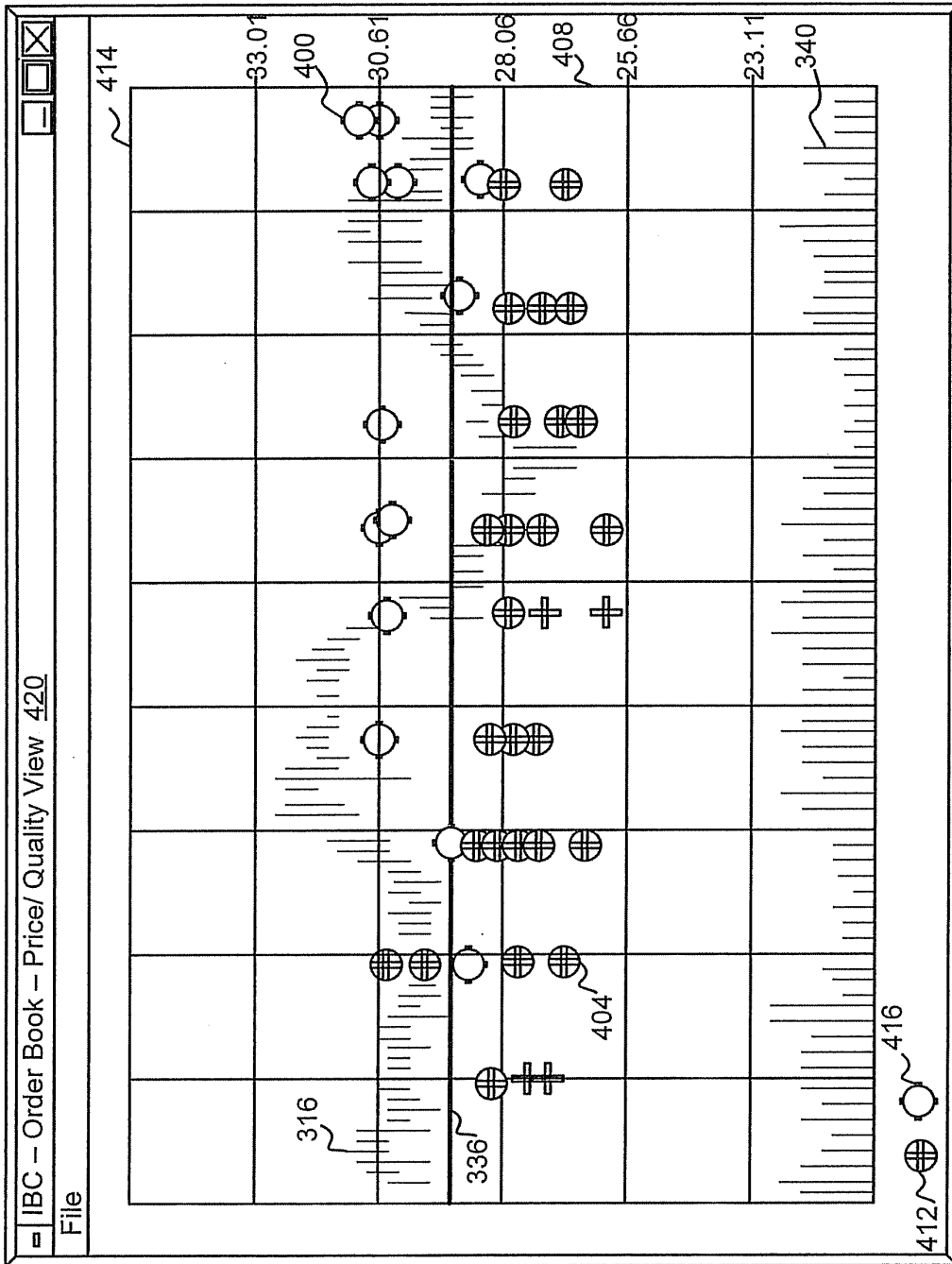


FIG. 4

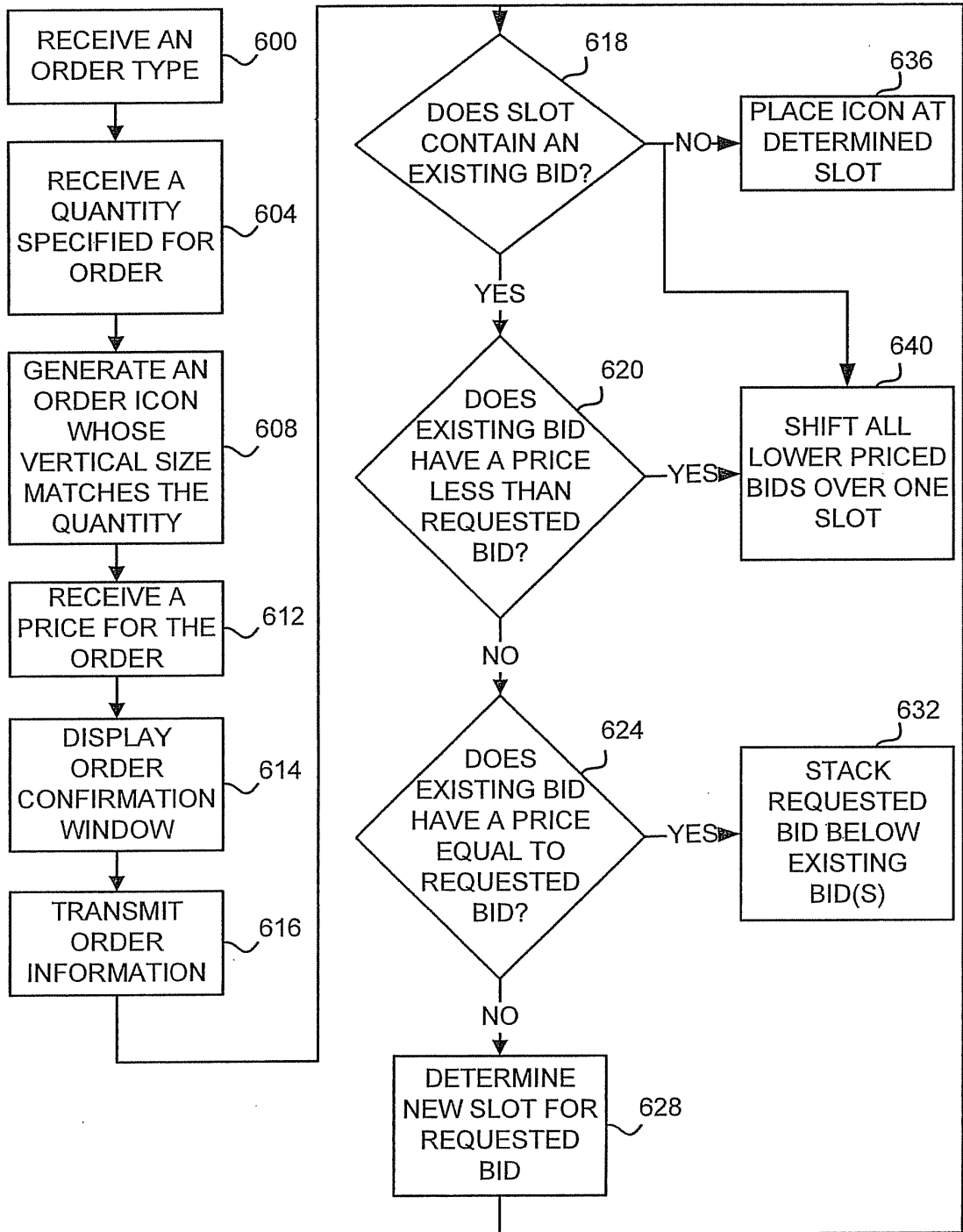


FIG. 6

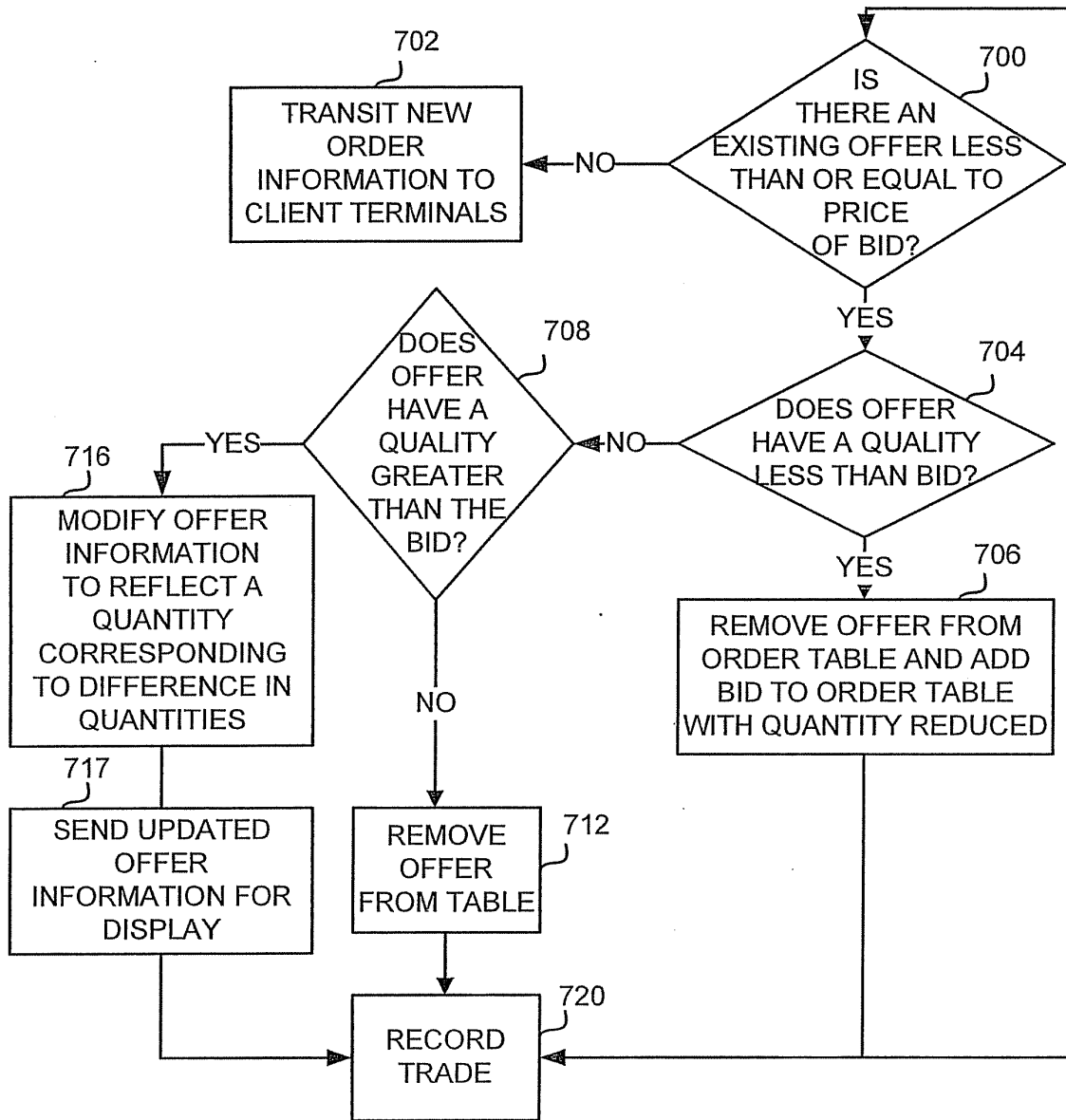
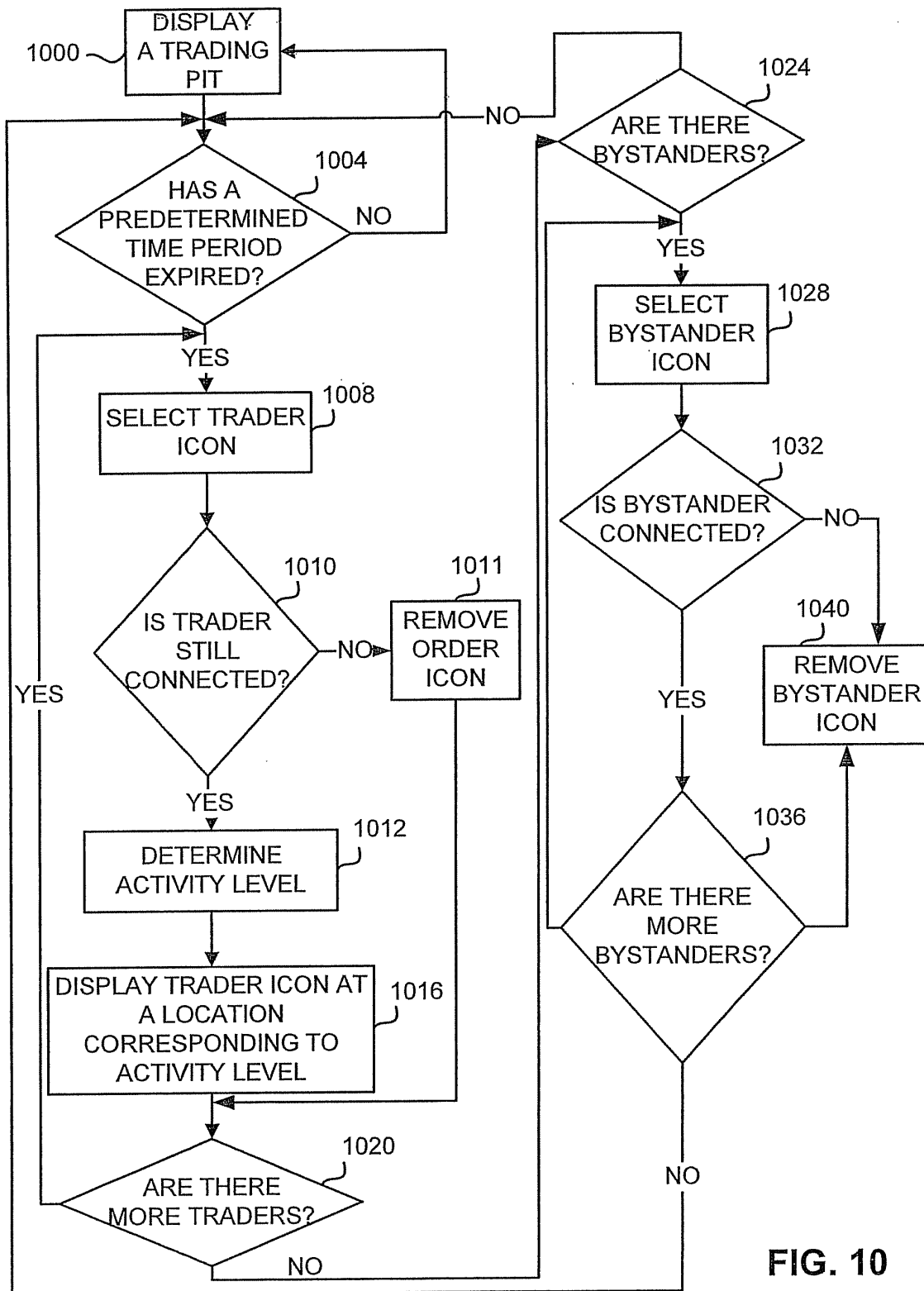
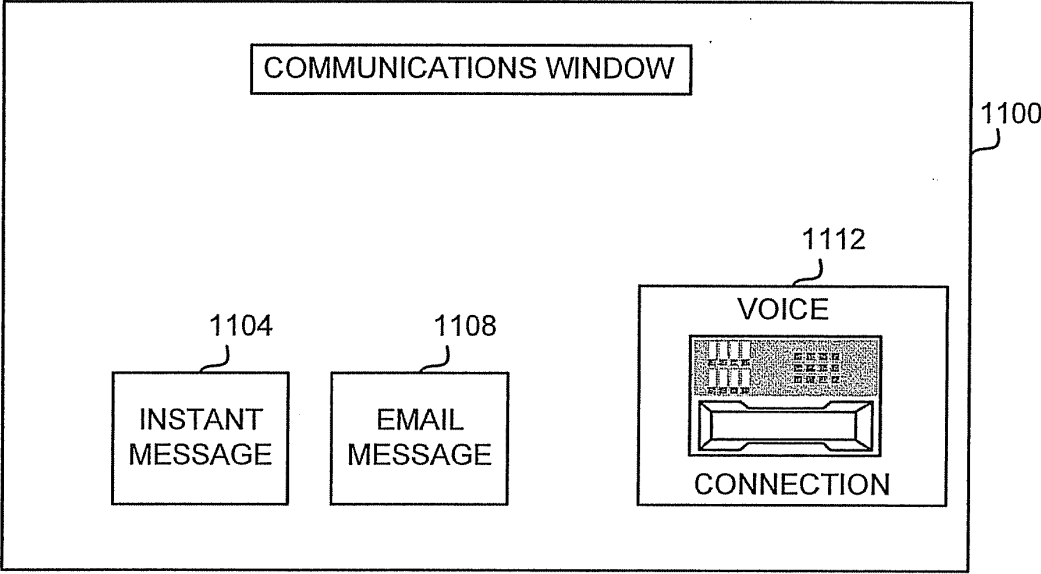


FIG. 7



**FIG. 10**



**FIG. 11**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

(Case No. 03-1106-Z)

In re the Application of: )  
 )  
Friesen et al. ) Group Art Unit: 3693  
 )  
Serial No. 11/417,522 ) Examiner: Jason Borlinghaus  
 )  
Filed: May 3, 2006 )  
 )  
For: User Interface for Electronic Trading System )

**SUBMISSION OF FORMAL DRAWINGS**

Mail Stop Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We enclose herewith the formal drawings for Figures 1-11 (11 sheets) to replace the original informal drawings. No new matter has been introduced in this application as a result to this amendment.

Respectfully submitted

**McDonnell Boehnen Hulbert  
& Berghoff**

Dated: May 21, 2008

By: /Joseph A. Herndon/  
Joseph A. Herndon  
Reg No. 50,469



#11/417 522

*BJ*

AMENDMENT TO THE SPECIFICATION

Please add the following paragraph on page 1 ~~at line 3.~~

*before Technical field*

CROSS REFERENCE TO RELATED APPLICATION

*BJ*  
*4/16/08*

This application is a continuation of U.S. Patent Application Serial No. 09/289,550 filed April 9, 1999, entitled "User Interface for an Electronic Trading System" the contents of which are fully incorporated herein by reference.



UNITED STATES PATENT AND TRADEMARK OFFICE

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NOTICE OF ALLOWANCE AND FEE(S) DUE

39310 7590 03/28/2008

MBHB/TRADING TECHNOLOGIES
300 SOUTH WACKER DRIVE
SUITE 3200
CHICAGO, IL 60606

EXAMINER

BORLINGHAUS, JASON M

ART UNIT PAPER NUMBER

3693

DATE MAILED: 03/28/2008

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.

11/417,522 05/03/2006 Richard W. Friesen 03-1106-Z 8225

TITLE OF INVENTION: USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

Table with 7 columns: APPLN. TYPE, SMALL ENTITY, ISSUE FEE DUE, PUBLICATION FEE DUE, PREV. PAID ISSUE FEE, TOTAL FEE(S) DUE, DATE DUE

nonprovisional NO \$1440 \$300 \$0 \$1740 06/30/2008

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 DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

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 above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, 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 box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). 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. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

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 (571)-273-2885**

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 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: Use Block 1 for any change of address)

39310                      7590                      03/28/2008

**MBHB/TRADING TECHNOLOGIES**  
 300 SOUTH WACKER DRIVE  
 SUITE 3200  
 CHICAGO, IL 60606

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 (571) 273-2885, on the date indicated below.

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z	8225

TITLE OF INVENTION: USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1440	\$300	\$0	\$1740	06/30/2008

EXAMINER	ART UNIT	CLASS-SUBCLASS
BORLINGHAUS, JASON M	3693	705-037000

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. <b>Use of a Customer Number is required.</b></p>	<p>2. For printing on the patent front page, list</p> <p>(1) the names of up to 3 registered patent attorneys or agents OR, alternatively, _____ 1</p> <p>(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. _____ 2</p> <p>_____ 3</p>
---	---

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. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. 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

<p>4a. The following fee(s) are submitted:</p> <p><input type="checkbox"/> Issue Fee</p> <p><input type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies _____</p>	<p>4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).</p>
---	--

5. Change in Entity Status (from status indicated above)

a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.  b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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.

Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_

Typed or printed name \_\_\_\_\_ Registration No. \_\_\_\_\_

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, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
Row 1: 11/417,522, 05/03/2006, Richard W. Friesen, 03-1106-Z, 8225
Row 2: 39310, 7590, 03/28/2008, EXAMINER BORLINGHAUS, JASON M
Row 3: MBHB/TRADING TECHNOLOGIES, 300 SOUTH WACKER DRIVE, SUITE 3200, CHICAGO, IL 60606, ART UNIT 3693, PAPER NUMBER
Row 4: DATE MAILED: 03/28/2008

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 19 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 19 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) WEB site (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 (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

<b>Notice of Allowability</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	11/417,522	FRIESEN ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	JASON M. BORLINGHAUS	3693	

**-- 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 2/18/08 & 12/20/07.
2.  The allowed claim(s) is/are 59 - 82.
3.  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: \_\_\_\_\_.

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.**

4.  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.
5.  CORRECTED DRAWINGS ( as "replacement sheets") 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./Mail Date \_\_\_\_\_.
  - (b)  including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.

**Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6.  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)**

- |  |   |
|--|---|
| <ol style="list-style-type: none"> <li>1. <input type="checkbox"/> Notice of References Cited (PTO-892)</li> <li>2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)</li> <li>3. <input checked="" type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br/>Paper No./Mail Date _____</li> <li>4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit of Biological Material</li> </ol> | <ol style="list-style-type: none"> <li>5. <input type="checkbox"/> Notice of Informal Patent Application</li> <li>6. <input type="checkbox"/> Interview Summary (PTO-413),<br/>Paper No./Mail Date _____ .</li> <li>7. <input type="checkbox"/> Examiner's Amendment/Comment</li> <li>8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance</li> <li>9. <input type="checkbox"/> Other _____.</li> </ol> |
|--|---|

**DETAILED ACTION**

***Terminal Disclaimer***

The terminal disclaimer filed on 12/20/07 disclaiming the terminal portion of any patent granted on this application which would extend beyond the expiration date of US Patent 7,212,999 has been reviewed and is accepted. The terminal disclaimer has been recorded.

***Allowable Subject Matter***

**Claims 59 – 82** are allowed.

The following is a statement of reasons for indication of allowable subject matter. The prior art fails to teach or suggest the limitations of:

“placing an order icon for a particular quantity of the good at a specific location of the plurality of locations along the vertical axis of price values with a pointer of an input device, wherein the specific location on which the order icon is placed corresponds to a particular price value;

generating an order to buy or sell the particular quantity of the good at the particular price value responsive to placing the order icon at the specific location” (as in Claim 59).

Such limitation is present in all independent claims.

It is old and well known in the art to display information regarding the buying and selling of goods via a chart comprising a vertical axis of price values and a horizontal

axis of time. An example of such an informational display would be a chart detailing the price history of a particular financial instrument over time.

Furthermore, it is also old and well known in the art to utilize a graphical user interface to buy or sell goods. Internet-based graphical user interfaces are now commonplace but, even before the Internet, graphical user interfaces such as a computer display prompting a user for command input were well known among information systems.

The instant application distinguishes from these old and well known practices by tying together and expanding upon these two core concepts. The instant invention presents an information chart comprising a vertical axis of price values and a horizontal axis of time for a good. This chart, itself, functions as the graphical user interface for the buying and selling of goods. The user places an icon, which represents the intended purchase or sale, upon the chart to generate a buy or sell order. The location of the icon on the price axis indicates the price at which the user desires to purchase or sell the goods.

Moyer (US Patent 6,211,873) discloses a method/system for displaying information regarding the buying and selling of goods (stock prices) via a chart comprising a vertical axis of price values (stock prices) and a horizontal axis of time (time of valuation). (see col. 1, line 55 - col. 2, line 33). Neither this patent, neither alone nor in combination with others, discloses nor suggests the feature of interacting with the displayed information as to generate a buy or sell order based upon the placement of an icon on the displayed information.

Wright (Research Report: Information Animation Application in the Capital Markets) discloses the general trend in information displays and graphical user interfaces that attempt to communicate information more effectively and precisely to end-users. In particular, Wright discloses the potential future development of graphical icons for use in equity trading that "will visually and precisely communicate the value of the [icon's underlying] tribute." (see p. 22). Neither this non-patent literature, neither alone nor in combination with others, discloses nor suggests the feature of interacting with the displayed information as to generate a buy or sell order based upon the placement of an icon on the displayed information.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JASON M. BORLINGHAUS whose telephone number is (571)272-6924. The examiner can normally be reached on 8:30am-5:00pm M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.




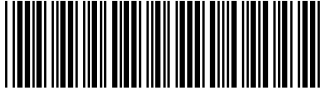
Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through 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). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/James A. Kramer/  
Supervisory Patent Examiner, Art Unit 3693

/Jason M Borlinghaus/  
Examiner, Art Unit 3693

February 27, 2008

<b>Application Number</b> 	<b>Application/Control No.</b> 11/417,522	<b>Applicant(s)/Patent under Reexamination</b> FRIESEN ET AL.	
	<b>Examiner</b> JASON M. BORLINGHAUS	<b>Art Unit</b> 3693	

<b>Issue Classification</b> 	Application/Control No.	Applicant(s)/Patent under Reexamination	
	11/417,522	FRIESEN ET AL.	
	Examiner	Art Unit	
JASON M. BORLINGHAUS	3693		

ISSUE CLASSIFICATION											
ORIGINAL					CROSS REFERENCE(S)						
CLASS		SUBCLASS			CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)					
705		37									
INTERNATIONAL CLASSIFICATION											
G	0	6	Q	40/00							
				/							
				/							
				/							
				/							
/Jason Borlinghaus/ 2/27/2008 (Assistant Examiner) (Date)					/James A Kramer/ 2/27/08 (Primary Examiner) (Date)					Total Claims Allowed: 24	
(Legal Instruments Examiner) (Date)										O.G. Print Claim(s) 1	

<input type="checkbox"/> Claims renumbered in the same order as presented by applicant		<input type="checkbox"/> CPA		<input checked="" type="checkbox"/> T.D.		<input type="checkbox"/> R.1.47	
Final	Original	Final	Original	Final	Original	Final	Original
	1		31	3	61		91
	2		32	4	62		92
	3		33	5	63		93
	4		34	6	64		94
	5		35	7	65		95
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	7		37	9	67		97
	8		38	10	68		98
	9		39	11	69		99
	10		40	12	70		100
	11		41	13	71		101
	12		42	14	72		102
	13		43	15	73		103
	14		44	16	74		104
	15		45	17	75		105
	16		46	18	76		106
	17		47	19	77		107
	18		48	20	78		108
	19		49	21	79		109
	20		50	22	80		110
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							210

**Search Notes**



**Application/Control No.**

11/417,522

**Applicant(s)/Patent under Reexamination**

FRIESEN ET AL.

**Examiner**

JASON M. BORLINGHAUS

**Art Unit**

3693

SEARCHED			
Class	Subclass	Date	Examiner

INTERFERENCE SEARCHED			
Class	Subclass	Date	Examiner
<b>705</b>	<b>37</b>	<b>2/26/2008</b>	<b>JMB</b>

SEARCH NOTES (INCLUDING SEARCH STRATEGY)		
	DATE	EXMR
EAST (see attached)	2/27/2008	JMB
STIC Search including DIALOG (see attached)	2/27/2008	JMB
Discussion (Hani Kazimi - Primary)	12/18/2007	JMB
Discussion (James Kramer - SPE)	2/27/2008	JMB

<b>FORM PTO-1449</b> (Rev. 2-32)  <b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)	<b>Atty. Docket No.</b> 03-1106-Z	<b>Serial No.</b> 11/417,522
	<b>Applicant:</b> Friesen et al.	
	<b>Filing Date:</b> May 3, 2006	<b>Group:</b> 3693

**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
/J.B./	1.	4,674,044	6-16-87	Kalmus et al.			
	2.	4,705,135	6-788	Boilen			
	3.	4,799,156	1-17-89	Shavit et al.			
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	5.	4,903,201	2-20-90	Wagner			
	6.	5,038,284	8-6-91	Kramer			
	7.	5,077,665	12-31-91	Silverman et al.			
	8.	5,270,922	12-14-93	Higgins			
	9.	5,297,031	3-22-94	Gutterman et al.			
	10.	5,297,032	3-22-94	Trojan et al.			
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	12.	5,375,055	12-20-94	Togher et al.			
	13.	5,619,631	4-8-97	Schott			
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	17.	5,793,301	8-11-98	Patterson Jr. et al.			
	18.	5,797,002	8-18-98	Patterson Jr. et al.			

<b>EXAMINER</b> /Jason Borlinghaus/	<b>DATE CONSIDERED</b> 02/27/2008
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EXAMINER: Initial if citation 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.

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
/J.B./	19.	5,844,572	12-1-98	Schott			
	20.	5,845,266	12-1-98	Lupien et al.			
	21.	5,915,245	6-22-99	Patterson Jr. et al..			
	22.	5,924,082	7-13-99	Silverman et al.			
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EXAMINER /Jason Borlinghaus/	DATE CONSIDERED /J.B./
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EXAMINER: Initial if citation 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.

McDONNELL BOEHLEN HULBERT & BERGHOFF LLP 300 SOUTH WACKER DRIVE CHICAGO, ILLINOIS 60606 TELEPHONE (312) 913-0001	MBHB: S/N: FILING DATE:
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**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
/J.B./	46.	2002/0023038	2-21-02	Fritsch et al.			
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	58.	2006/0265319	11-23-06	Friesen			
	59.	2006/0259410	11-16-06	Friesen			
	60.	2006/0265315	11-23-06	Friesen			
	61.	2006/0259413	11-16-06	Friesen			

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
62.	EP 0 388 162	3-19-90	Europe				
63.	WO 92/12488	7-23-92	PCT				
64.	WO 95/26005	9-28-95	PCT				
65.	WO 00/52619	9-8-00	PCT				
66.	WO 01/75733	11-10-01	PCT				
67.	JP 2004287819	10-14-04	Japan				

EXAMINER	/Jason Borlinghaus/	DATE CONSIDERED	/J.B./
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EXAMINER: Initial if citation 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.

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EXAMINER	/Jason Borlinghaus/	DATE CONSIDERED	02/27/2008
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EXAMINER: Initial if citation 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.



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EXAMINER	/Jason Borlinghaus/	DATE CONSIDERED	02/27/2008
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EXAMINER: Initial if citation 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.

McDONNELL BOEHLEN HULBERT & BERGHOFF LLP 300 SOUTH WACKER DRIVE CHICAGO, ILLINOIS 60608 TELEPHONE (312) 913-0001	MBHB: S/N: FILING DATE:
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## EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
		S1 same S2	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
L1	3469	705/37.ccls.	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:56
L2	212148	user adj interface	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:56
L3	4916784	order sell buy buying selling ordering sale sales purchase purchasing	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:57
L4	2170018	axis	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:57
L5	6093624	time date price value	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:57
L6	259590	l4 with l5	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:58
L7	757	l6 same l2	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:59
L8	676	l7 and l3	US-PGPUB; USPAT; USOCR	OR	ON	2008/02/27 14:59
S1	2086153	axis	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S2	205625	time and price	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S3	5275522	time	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S4	265406	price	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S5	1877	S1 same S3 same S4	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:54

S6	48004	historical	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:47
S7	19	S5 same S6	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:59
S8	18414	trading	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:54
S9	58	S8 same S5	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:54
S10	4722317	order bid offer	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:59
S11	736	S10 same S5	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 16:44
S13	7	("5844572", "5136501", "20070083333", "5339392", "5412769", "6012044", "6211873"). pn.	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
S14	10778	virtual with reality	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
S15	19162	trading	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
S16	261271	user with interface	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
S17	365	S14 and S15 and S16	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09

2/ 27/ 2008 3:00:05 PM

C:\Documents and Settings\jborlinghaus\My Documents\EAST\Workspaces\11417522-UserInterface.wsp

~~ Inventor search

16/3,K/9 (Item 3 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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01480150 \*\* Image available\*\*

EMBEDDING HOT SPOTS IN ELECTRONIC DOCUMENTS  
INSERTION DE POINTS CHAUDS DANS DES DOCUMENTS  
ELECTRONIQUES

Patent Applicant/Assignee:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200723991 A1 20070301 (WO 0723991)  
Application: WO 2006JP316810 20060822 (PCT/WO JP2006316810)  
Priority Application: US 2005710767 20050823; US 2006792912  
20060417; US  
2006807654 20060718; US 2006461037 20060731; US 2006461085  
20060731; US  
2006461091 20060731; US 2006461095 20060731

Designated States:

(All protection types applied unless otherwise stated - for applications  
2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE  
DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HN HR HU ID IL IN IS JP KE KG KM  
KN KP  
KR KZ LA LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MY MZ NA NG  
NI NO  
NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR  
TT TZ  
UA UG US UZ VC VN ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV  
MC NL  
PL PT RO SE SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 42444

Fulltext Availability:

Detailed Description

Detailed Description

... in accordance with an embodiment of the present invention.

Figure 35 illustrates a method for generating an MMR index table in accordance with an embodiment of the present invention.

Figure 36 illustrates a method for...list. DBID specifies either a file or remote network reference to the specified database.

Index Table Geneation Methodology Figure 35 illustrates a method 3500 for generating an MMR index table in accordance with an embodiment of

the present invention. The method can be carried out...internal DC table, a memory buffer DC (and memory buffer) of the same dimensions is created

and associated with the printer DC in the internal DC table .

gdi32rnmr.dll next determipes 4425 whether the call is a text-related function call.. Approximately...

16/3,K/17 (Item 11 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00783303 \*\* Image available\*\*

USER INTERFACE FOR SEMI-FUNGIBLE TRADING  
INTERFACE UTILISATEUR POUR ECHANGES SEMI-FONGIBLES

Patent Applicant/Assignee:

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Legal Representative:

RAO Dana (et al) (agent), Fenwick & West LLP, Two Palo Alto Square, Palo  
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Patent and Priority Information (Country, Number, Date):

Patent: WO 200116852 A2 20010308 (WO 0116852)

Application: WO 2000US40797 20000830 (PCT/WO US0040797)

Priority Application: US 99151468 19990830

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK EE ES FI  
GB GE  
GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG  
MK  
MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN  
YU ZA  
ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 15055

Fulltext Availability:

Detailed Description

Detailed Description

... bid and offer icons in accordance with the present invention.

Figure 6 is a flow chart illustrating a preferred embodiment of a method of generating a bid order icon in accordance with the present invention.

Figure 7 is a flow chart illustrating a preferred embodiment of a method of generating a offer order icon in accordance with the present invention.

Figure 8 is a flow chart illustrating an alternate embodiment of generating an order icon.

Figure 9 is a screen shot illustrating a Pit Panel view in accordance with the present invention.

Figure 10 is a flow chart illustrating a preferred embodiment of generating and placing a trader icon in accordance with the present invention.

Figure 11 is...trader which the trader can use in anticipating the market.

Figure 10 is a flow chart illustrating a preferred embodiment of generating and placing a trader icon in accordance with the present invention. First, a trading pit...

16/ 3,K/ 18 (Item 12 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00749567 \*\*Image available\*\*

USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM  
INTERFACE UTILISATEUR POUR SYSTEME DE TRANSACTIONS  
INFORMATI SEES

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Legal Representative:

RAO Dana S (et al) (agent), Fenwick & West LLP, Two Palo Alto Square,  
Palo Alto, CA 94306, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200062187 A2-A3 20001019 (WO 0062187)

Application: WO 2000US9369 20000407 (PCT/WO US0009369)

Priority Application: US 99289550 19990409

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH

GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN

MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 13073

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... bid and offer icons in accordance with the present invention.

Figure 6 is a flow chart illustrating a preferred embodiment of a method of generating a bid order icon in accordance with the present invention.

6

Figure 7 is a flow chart illustrating a preferred embodiment of a method of generating a offer order icon in accordance with the present invention.

Figure 8 is a flow chart illustrating an alternate embodiment of generating an order icon.

Figure 9 is a screen shot illustrating a Pit Panel view in accordance with the present invention.

Figure 10 is a flow chart illustrating a preferred embodiment of generating and placing a trader icon in accordance with the present invention.

Figure 11 is...trader which the trader can use in anticipating the market.

Figure 12 is a flow chart illustrating a preferred embodiment of



generating and placing a trader icon in accordance with the present invention. First, a trading pit...

Claim

... with respect to the first axis.

36 The computer-readable medium of claim 35 further causing the processor to: display a historical chart representing historical economic data value for a set of items.

37 The computer-readable medium...

~ ~ Bibliographic patent files

17/ 3,K/ 4 (Item 4 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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0012799902 - Drawing available  
WPI ACC NO: 2002-656529/200270  
XRPX Acc No: N2002-518986  
Food/ drink ordering system in restaurant, supplies selected item of food and drink to customer table, based on input of item during menu display  
Patent Assignee: KURA CORP KK (KURA-N); KURA CORP LTD (KURA-N)  
Inventor: TANAKA K

Patent Family (3 patents, 2 countries)

Patent		Application					
Number	Kind	Date	Number	Kind	Date	Update	
US 20020103751	A1	20020801	US 200253631	A	20020122	200270	B
JP 2002219044	A	20020806	JP 200118056	A	20010126	200270	E
US 6914582	B2	20050705	US 200253631	A	20020122	200544	E

Priority Applications (no., kind, date): JP 200118056 A 20010126; US 200253631 A 20020122

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20020103751	A1	EN	13	7		
JP 2002219044	A	JA	7			

Original Publication Data by Authority

Original Abstracts:

...and drink ordering system in an eating and drinking place for allowing a customer to make a precise order of a desired food and drink from

the customer's table to a kitchen. The food and drink ordering system includes image display means and order input means for inputting information on the food and drink ordered, both of which are provided at the customer...

...and drink ordering system in an eating and drinking place for allowing a customer to make a precise order of a desired food and drink from the customer's table to a kitchen. The food and drink ordering system includes image display means and order input means for inputting information on the food and drink ordered, both of which are provided at the customer's...

17/3,K/16 (Item 16 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2008 The Thomson Corporation. All rts. reserv.

0006370342 - Drawing available  
WPI ACC NO: 1993-169265/199321  
XRPX Acc No: N1993-129602  
Image processing appts. generating graphic icons to produce computer image  
- implements control points for icons which blink to indicate which part of drawing operation is required next.  
Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)  
Inventor: HIDAKA K  
Patent Family (2 patents, 4 countries)  
Patent Application  
Number Kind Date Number Kind Date Update  
EP 543611 A1 19930526 EP 1992310464 A 19921117 199321 B  
US 5671380 A 19970923 US 1992970513 A 19921102 199744 E

Priority Applications (no., kind, date): JP 1991331520 A 19911121

Patent Details  
Number Kind Lan Pg Dwg Filing Notes  
EP 543611 A1 EN 15 13  
Regional Designated States,Original: DE FR GB  
US 5671380 A EN 14  
Original Publication Data by Authority

#### Claims:

...the operation sequence in which the control points must be specified, for a chosen graphic icon selected through said input device; an image object table for recording data representing drawing points as the control points of the image, when the drawing points...

~ ~ Full text patent files

17/3,K/1 (Item 1 from file: 348)  
DIALOG(R) File 348: EUROPEAN PATENTS  
(c) 2008 European Patent Office. All rts. reserv.

02038564

Secure transaction management  
Sicheres Transaktionsmanagement  
Gestion de transactions securisees

PATENT ASSIGNEE:

Intertrust Technologies Corp., (2434323), 955 Stewart Drive, Sunnyvale,  
CA 94085, (US), (Applicant designated States: all)

INVENTOR:

Ginter, Karl L., 10404 43rd Avenue, Beltsville, MD 20705, (US)  
Shear, Victor H., 5203 Battery Lane, Bethesda, MD 20814, (US)  
Spahn, Francis J., 2410 Edwards Avenue, El Cerrito, CA 94530, (US)  
Van Wie, David M., 51430 Williamette Street 6, Eugene, OR 97401, (US)

LEGAL REPRESENTATIVE:

Beresford, Keith Denis Lewis (28273), BERESFORD & Co. 16 High Holborn,  
London WC1V 6BX, (GB)

PATENT (CC, No, Kind, Date): EP 1643340 A2 060405 (Basic)  
EP 1643340 A3 060531

APPLICATION (CC, No, Date): EP 2005077923 960213;

PRIORITY (CC, No, Date): US 388107 950213

DESIGNATED STATES: AT; BE; CH; DE; DK; ES; FR; GB; GR; IE; IT; LI; LU;  
MC;

NL; PT; SE

RELATED PARENT NUMBER(S) - PN (AN):

EP 861461 (EP 96922371)

INTERNATIONAL CLASSIFICATION (V8 + ATTRIBUTES):

IPC + Level Value Position Status Version Action Source Office:

G06F-0001/00 A I F B 20060101 20060213 H EP

ABSTRACT WORD COUNT: 147

NOTE:

Figure number on first page: 5b

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
----------------	----------	--------	------------

CLAIMS A	(English)	200614	2171
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SPEC A	(English)	200614	193720
--------	-----------	--------	--------

Total word count - document A	195924
-------------------------------	--------

Total word count - document B	0
-------------------------------	---

Total word count - documents A + B	195924
------------------------------------	--------

INTERNATIONAL CLASSIFICATION (V8 + ATTRIBUTES):

IPC + Level Value Position Status Version Action Source Office:

G06F-0001/00 A I F B 20060101 20060213 H EP

...SPECIFICATION site record number as part of its VDE item ID may allow a look up table approach to be used. Only a small number of bytes of transaction tag are needed per item, and a table transaction tag for all frequently updatable items...

17/3,K/5 (Item 5 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
(c) 2008 European Patent Office. All rts. reserv.

01805903

IMAGE PROCESSING DEVICE, METHOD, AND PROGRAM  
BILDVERARBEITUNGSEINRICHTUNG, VERFAHREN UND PROGRAMM  
DISPOSITIF, PROCEDURE ET PROGRAMME DE TRAITEMENT D'IMAGES  
PATENT ASSIGNEE:

SONY CORPORATION, (214028), 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku,

Tokyo 141-0001, (JP), (Applicant designated States: all)

INVENTOR:

KONDO, Tetsujiro, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

FUJIWARA, Naoki, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

MIYAKE, Toru, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

WADA, Seiji, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

ISHIBASHI, Junichi, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
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SAWAO, Takashi, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

NAGANO, Takahiro, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

LEGAL REPRESENTATIVE:

Korber, Martin Hans (88321), Mitscherlich & Partner Patentanwälte  
Sonnenstrasse 33, 80331 München, (DE)

PATENT (CC, No, Kind, Date): EP 1598775 A1 051123 (Basic)  
WO 2004077353 040910

APPLICATION (CC, No, Date): EP 2004710975 040213; WO 2004JP1584  
040213

PRIORITY (CC, No, Date): JP 200352290 030228

DESIGNATED STATES: AT; BE; BG; CH; CY; CZ; DE; DK; EE; ES; FI; FR;  
GB; GR;

HU; IE; IT; LI; LU; MC; NL; PT; RO; SE; SI; SK; TR

EXTENDED DESIGNATED STATES: AL; LT; LV; MK

INTERNATIONAL PATENT CLASS (V7): G06T-001/00

ABSTRACT WORD COUNT: 154

NOTE:

Figure number on first page: 205

LANGUAGE (Publication,Procedural,Application): English; English; Japanese  
FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200547	913
SPEC A	(English)	200547	209046
Total word count - document A			209959
Total word count - document B			0
Total word count - documents A + B			209959

...SPECIFICATION estimating means may set, as features of the pixels, a value corresponding to a first- order derivative value of the waveform of the light signals corresponding to the each pixel.

The...of the actual world signals, which is a two-dimensional polynomial.

Fig. 328 is a diagram illustrating an example of an input image from the sensor 2.

Fig. 329 is a diagram illustrating an example of actual world signals corresponding to the input image in Fig. 328.

Fig. 330 is a diagram illustrating an example wherein the actual world is estimated without using a technique which takes...

...is applied, in the image processing device in Fig. 343.

Fig. 345 is a block diagram illustrating another detailed configuration example of an error estimating unit to which the third filterization...

17/ 3,K/ 6 (Item 6 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
(c) 2008 European Patent Office. All rts. reserv.

01800847

SIGNAL PROCESSING DEVICE, METHOD, AND PROGRAM  
SIGNALVERARBEITUNGSEINRICHTUNG, VERFAHREN UND  
PROGRAMM  
DISPOSITIF, PROCEDURE ET PROGRAMME DE TRAITEMENT DE SIGNAUX  
PATENT ASSIGNEE:

SONY CORPORATION, (214028), 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku,

Tokyo 141-0001, (JP), (Applicant designated States: all)

INVENTOR:

KONDO, Tetsujiro, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

ISHIBASHI, Junichi, C/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)  
SAWAO, Takashi, c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)  
NAGANO, Takahiro, c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)  
FUJIWARA, Naoki, c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)  
MIYAKE, Toru, c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)  
WADA, Seiji, c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 1410001, (JP)

LEGAL REPRESENTATIVE:

Korber, Martin Hans (88321), Mitscherlich & Partner Patentanwälte  
Sonnenstrasse 33, 80331 Munchen, (DE)

PATENT (CC, No, Kind, Date): EP 1594084 A1 051109 (Basic)  
WO 2004072898 040826

APPLICATION (CC, No, Date): EP 2004710482 040212; WO 2004JP1488  
040212

PRIORITY (CC, No, Date): JP 200334506 030213

DESIGNATED STATES: AT; BE; BG; CH; CY; CZ; DE; DK; EE; ES; FI; FR;  
GB; GR;

HU; IE; IT; LI; LU; MC; NL; PT; RO; SE; SI; SK; TR

EXTENDED DESIGNATED STATES: AL; LT; LV; MK

INTERNATIONAL PATENT CLASS (V7): G06T-001/00

ABSTRACT WORD COUNT: 140

NOTE:

Figure number on first page: 003

LANGUAGE (Publication,Procedural,Application): English; English; Japanese

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
----------------	----------	--------	------------

CLAIMS A	(English)	200545	998
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SPEC A	(English)	200545	163325
--------	-----------	--------	--------

Total word count - document A	164323
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Total word count - document B	0
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Total word count - documents A + B	164323
------------------------------------	--------

...SPECIFICATION embodiment of the signal processing device shown in Fig.  
1.

Fig. 293 is a block diagram for describing a configuration example  
of an image generating unit for executing the class classification  
adaptation processing of the signal processing device shown...

17/3,K/16 (Item 16 from file: 348)

DIALOG(R)File 348:EUROPEAN PATENTS

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00957483

Image information input-output unit, image information input-output unit

control method, and image information processing system  
Bildinformations- Eingabe/ Ausgabeeinheit, Bildinformations-  
Eingabe/ Ausgabe

einheit Steuerverfahren, und Bildinformations-  
Verarbeitungssystem

Unite d'entree/ sortie pour informations d'image, procede de  
controle

d'unite d'entree/ sortie pour informations d'image, et systeme  
de

traitement d'informations d'image

PATENT ASSIGNEE:

Seiko Epson Corporation, (730008), 4-1, Nishi-Shinjuku 2-chome,  
Shinjuku-ku, Tokyo, (JP), (Proprietor designated states: all)

INVENTOR:

Shima, Toshihiro, c/o Seiko Epson Corporation, 3-5, Owa 3-chome,  
Suwa-shi, Nagano-ken, (JP)

LEGAL REPRESENTATIVE:

Sturt, Clifford Mark et al (50505), Miller Sturt Kenyon, 9 John Street,  
London WC1N 2ES, (GB)

PATENT (CC, No, Kind, Date): EP 867817 A2 980930 (Basic)

EP 867817 A3 000517

EP 867817 B1 080109

APPLICATION (CC, No, Date): EP 98302288 980325;

PRIORITY (CC, No, Date): JP 9772214 970325; JP 9811407 980123

DESIGNATED STATES: DE; ES; FR; GB; IT

EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI

INTERNATIONAL PATENT CLASS (V7): G06F-017/ 30 ; H04N-001/21;

G06T-017/00

INTERNATIONAL CLASSIFICATION (V8 + ATTRIBUTES):

IPC + Level Value Position Status Version Action Source Office:

G06F-0017/ 30 A I F B 20060101 19980704 H EP

H04N-0001/21 A I L B 20060101 19980704 H EP

G06T-0017/00 A I L B 20060101 19980704 H EP

ABSTRACT WORD COUNT: 77

NOTE:

Figure number on first page: 1

LANGUAGE (Publication, Procedural, Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text Language Update Word Count

CLAIMS A (English) 199840 2547

CLAIMS B (English) 200802 2225

CLAIMS B (German) 200802 1635

CLAIMS B (French) 200802 2777

SPEC A (English) 199840 13721  
SPEC B (English) 200802 11764  
Total word count - document A 16271  
Total word count - document B 18401  
Total word count - documents A + B 34672

INTERNATIONAL PATENT CLASS (V7): G06F-017/ 30 ...  
INTERNATIONAL CLASSIFICATION (V8 + ATTRIBUTES):  
IPC + Level Value Position Status Version Action Source Office:  
G06F-0017/ 30 A I F B 20060101 19980704 H EP...

...SPECIFICATION whether or not the sample image generation request is received, generating the prediction results of image information input -output processing based on a plurality of preset control information pieces as sample images if the sample image generation request is received, generating sample image list information for relating the retrieval information pieces corresponding to the sample images...

...a web page function for driving image processing means based on control information, thereby performing input -output processing of image information, characterized by web page generation means for generating a web page having resource request information related to processing items that can be processed by the image processing means, management...

...with each other for driving image processing means based on the control information, thereby performing input -output processing of image information, the control method comprising a first step of generating a web page having resource request information related to processing items that can be processed by the image processing means, a...terminal having a web browser for using the web server function, characterized in that the image information input -output unit comprises image processing means driven based on control information, web page generation means for generating a web page having resource request information related to processing items that can be processed by the image processing means and...

17/ 3,K/ 17 (Item 17 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
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00558024  
LINKING OF PROGRAM UNITS AT PROGRAM ACTIVATION  
PROGRAMMEINHEITENVERBINDUNG BEI DER  
PROGRAMMAKTIVIERUNG  
LIAISON D'UNITES DE PROGRAMME AU MOMENT DU



DECLENCHEMENT DU PROGRAMME

PATENT ASSIGNEE:

DIGITAL EQUIPMENT CORPORATION, (313088), 146 Main Street, Maynard,  
Massachusetts 01745, (US), (applicant designated states:  
BE; CH; DE; ES; FR; GB; IT; LI; NL; SE)

INVENTOR:

MURPHY, Daniel, L., 10 Farm Pond Lane, Hollis, NH 03049, (US)

LEGAL REPRESENTATIVE:

Goodman, Christopher et al (31122), Eric Potter & Clarkson St. Mary's  
Court St. Mary's Gate, Nottingham NG1 1LE, (GB)

PATENT (CC, No, Kind, Date): EP 528018 A1 930224 (Basic)

EP 528018 B1 951220

WO 9215940 920917

APPLICATION (CC, No, Date): EP 92908037 920304; WO 92US1839  
920304

PRIORITY (CC, No, Date): US 666023 910307

DESIGNATED STATES: BE; CH; DE; ES; FR; GB; IT; LI; NL; SE

INTERNATIONAL PATENT CLASS (V7): G06F-009/ 445 ;

NOTE:

No A-document published by EPO

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
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CLAIMS B	(English)	EPAB95	757
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CLAIMS B	(German)	EPAB95	724
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CLAIMS B	(French)	EPAB95	842
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SPEC B	(English)	EPAB95	4059
--------	-----------	--------	------

Total word count - document A	0
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Total word count - document B	6382
-------------------------------	------

Total word count - documents A + B	6382
------------------------------------	------

INTERNATIONAL PATENT CLASS (V7): G06F-009/ 445

...SPECIFICATION the procedures 13 (identified by their symbol names) are  
identified and added to the symbol table 21, in order , thus creating  
symbol table entries 22. The symbol table 21 is of course a data  
structure ordinarily...

17/ 3,K/ 26 (Item 26 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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01315563

ARCHITECTURE APPARATUS AND METHOD FOR SEAMLESS  
UNIVERSAL DEVICE

INTEROPERABILITY PLATFORM

ARCHITECTURE, DISPOSITIF ET PROCEDE POUR PLATE-FORME

D'INTEROPERABILITE

HOMOGENE DE DISPOSITIFS UNIVERSELS

Patent Applicant/Assignee:

DARTDEVICES CORPORATION, Suite 130, 465 Fairchild Drive, Mountain View,

CA 94043, US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

ILLOWSKY Daniel, 21363 Dexter Drive, Cupertino, CA 95014, US, US (Residence), US (Nationality), (Designated only for: US)

BERNSTEIN Bruce, # 971, 1225 Vienna Drive, Sunnyvale, CA 94089, US, US (Residence), US (Nationality), (Designated only for: US)

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SIDNEY Raymond, 186 S. Benjamin Drive, Stateline, NV 89449, US, US (Residence), US (Nationality), (Designated only for: US)

TIBERI Richard, 47120 Highway 1, Big Sur, California 93920, US, US (Residence), US (Nationality), (Designated only for: US)

WENOCUR Michael, 4057 Amaranta Avenue, Palo Alto, CA 94306, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

ANANIAN R Michael et al (agent), DORSEY & WHITNEY LLP, Suite 1000, 555 California Street, San Francisco, CA 94104-1513, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 2005121950 A2 20051222 (WO 05121950)

Application: WO 2005US20362 20050608 (PCT/WO US2005020362)

Priority Application: US 2004577971 20040608

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM

DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ

LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH PL

PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU

ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU MC

NL PL

PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English  
Fulltext Word Count: 138760

Main International Patent Class (v7): G06F-009/ 40

International Patent Class (v8 + Attributes)  
IPC + Level Value Position Status Version Action Source Office:  
G06F-0009/ 46 ...

\*\*\*\*\* of interest\*\*\*\*\* (instant application)

17/ 3,K/ 36 (Item 36 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2008 WIPO/Thomson. All rts. reserv.

00749567 \*\*Image available\*\*

USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM  
INTERFACE UTILISATEUR POUR SYSTEME DE TRANSACTIONS  
INFORMATI SEES

Patent Applicant/Assignee:

EPIT INC, 14th Floor, 351 California Street, San Francisco, CA 94104, US,  
US (Residence), US (Nationality)

Inventor(s):

FRIESEN Richard, 132 Ridge Road, Fairfax, CA 94930, US,  
HART Peter C, 53 Oakdale Avenue, San Rafael, CA 94901, US,

Legal Representative:

RAO Dana S (et al) (agent), Fenwick & West LLP, Two Palo Alto Square,  
Palo Alto, CA 94306, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200062187 A2-A3 20001019 (WO 0062187)  
Application: WO 2000US9369 20000407 (PCT/WO US0009369)  
Priority Application: US 99289550 19990409

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB  
GE GH  
GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK  
MN  
MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN YU  
ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 13073

Main International Patent Class (v7): G06F-017/ 60

Fulltext Availability:

Claims

Claim

... 416

RECEIVE AN 600  
ORDER TYPE  
REC  
QUANTITY 604 618 06  
SPECIFIED  
FOR ORDER SLOT  
PLACE  
NO OBTAIN NO ICON AT  
AN DETERMINED  
GENERATE AN EXISTING SLOT  
ORDER ICON 608 BID  
WHOSE VERTICAL  
SIZE MATCHES  
THE QUANTITY S  
REC 612 620  
PRI SHIFT...

17/ 3,K/ 37 (Item 37 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00488451 \*\* Image available\*\*

INTEGRATED CUSTOMER INTERFACE FOR WEB BASED  
COMMUNICATIONS NETWORK  
MANAGEMENT  
INTERFACE CLIENT INTEGREE POUR LA GESTION DE RESEAUX DE  
COMMUNICATIONS  
BASES SUR LE WEB

Patent Applicant/Assignee:

BARRY B Reilly,  
CHODORONEK Mark A,  
DEROSE Eric,  
GONZALES Mark N,  
JAMES Angela R,  
LEVY Lynne,  
TUSA Michael,

Inventor(s):

BARRY B Reilly,  
CHODORONEK Mark A,

DEROSE Eric,  
GONZALES Mark N,  
JAMES Angela R,  
LEVY Lynne,  
TUSA Michael,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9919803 A1 19990422  
Application: WO 98US20173 19980925 (PCT/WO US9820173)  
Priority Application: US 9760655 19970926

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AU BR CA JP MX SG AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

Publication Language: English

Fulltext Word Count: 90769

Main International Patent Class (v7): G06F-013/00

International Patent Class (v7): G06F-017/ 30

Fulltext Availability:

Detailed Description

Detailed Description

... the

Report Viewer client application 215 which supports text displays, a spreadsheet, a variety of graphic and chart types , or both spreadsheet/ graph simultaneously, and, is launched from the inbox client 210 when a report is selected. The Report Manager 250 includes...

~ ~ Bibliographic NPL files

20/ 3,K/ 23 (Item 23 from file: 2)

DIALOG(R)File 2:INSPEC

(c) 2008 Institution of Electrical Engineers. All rts. reserv.

04709005 INSPEC Abstract Number: B90064169, C90057553

Title: An icon-based approach to system control development

Author(s): Caven, J.; Jackman, J.

Author Affiliation: Dept. of Ind. Manuf. & Syst. Eng., Iowa State Univ., Ames, IA, USA

Journal: IEEE Transactions on Industrial Electronics vol.37, no.3  
p.259-64

Publication Date: June 1990 Country of Publication: USA

CODEN: ITIED6 ISSN: 0278-0046

U.S. Copyright Clearance Center Code: 0278-0046/90/0600-0259\$01.00

Language: English

Subfile: B C

...Abstract: across the network. The lowest level is the actual network hardware. Twelve MMS services were implemented in order to provide the capability to carry out a typical control session. The system was tested...

... environment used imposed at least two limitations on the operation of the system. First, LabVIEW makes no provision for data structures; therefore, each parameter had to be passed from the MMS layer to the code VI layer as a variable of a specific data type. Second, LabVIEW provides no convenient way to maintain global variables throughout a diagram.

20/3,K/24 (Item 24 from file: 2)  
DIALOG(R)File 2:INSPEC  
(c) 2008 Institution of Electrical Engineers. All rts. reserv.

04625444 INSPEC Abstract Number: C90034939  
Title: A graphical environment for OCCAM programming  
Author(s): Mourlin, F.; Cournarie, E.  
Author Affiliation: Paris XI Univ., Orsay, France  
Conference Title: Applications of Transputers 1. Proceedings of the First International Conference p.252-61  
Editor(s): Freeman, L.; Phillips, C.  
Publisher: IOS, Amsterdam, Netherlands  
Publication Date: 1990 Country of Publication: Netherlands ix+332 pp.  
Conference Date: 23-25 Aug. 1989 Conference Location: Liverpool, UK  
Language: English  
Subfile: C

Abstract: Computer application debugging has always lead to complex problems, which has made producing a genuine methodology impossible.

There are many difficulties with putting it into practice because of the repetitiveness of the necessary operations, which include both intuitive...

... in addition, the program semantics are specific to each user. The authors' work consists in creating a graphical environment for OCCAM programming and debugging. The main characteristics of OCCAM are those...  
... additional problems about error detection like the problems of the interprocess communications and deadlock. In order to make debugging this type of program easier, a graphic interface has been created. It is thus possible to represent an OCCAM program in the form of block diagrams...

... execution is controlled by a scheduling module that provides the

necessary data for animating the diagram created and displaying the variables and communications at any level. Thanks to these functions, this approach...

20/ 3,K/ 28 (Item 28 from file: 2)  
DIALOG(R)File 2:INSPEC  
(c) 2008 Institution of Electrical Engineers. All rts. reserv.

04228193 INSPEC Abstract Number: C88058703  
Title: Graphic Oriented Signal Processing Language-GOSPL  
Author(s): Covington, C.D.  
Author Affiliation: Dept. of Electr. Eng., Arkansas Univ., Fayetteville, AR, USA  
Conference Title: Official Proceedings of SPEECH TECH '87: Voice Input/Output Applications Show and Conference p.81-4  
Editor(s): Donly, A.  
Publisher: Media Dimensions, New York, NY, USA  
Publication Date: 1987 Country of Publication: USA 321 pp.  
Conference Date: 28-30 April 1987 Conference Location: New York, NY, USA  
Language: English  
Subfile: C

...Abstract: not visually represent inherently parallel components of the algorithm and frequently hide data dependencies. In order to address these and other difficulties with the traditional program step representation, some researchers suggest a graphic input driven approach where the user enters a signal flow graph interactively as a diagram and executes it directly in this form. A graphic input digital signal processing workstation using the Texas Instruments Explorer and Odyssey board was developed. The Graphic Oriented Signal Processing Language (GOSPL) accepts flow graph information as block diagram components using a mouse input device. The researcher uses the mouse to describe graph connections and create function blocks in the flow graph by selecting them from a menu. The system under development executes a broad class of flow graphs and provides virtual instruments to monitor signals and isolate graph errors during real-time execution.

~ ~ Full text NPL files - 1

20/ 3,K/ 1  
DIALOG(R)File 20:Dialog Global Reporter  
(c) 2008 Dialog. All rts. reserv.

04294577

JUST WHAT IS GOING ON HERE?

SECTION TITLE: Companies & Markets

Brendan Ryan

FINANCIAL MAIL, p54

February 05, 1999

JOURNAL CODE: WFML LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 1070

... shares in Western Areas. It's in the gold mining business not the gold share trading business. The purchase makes a mockery of Kebble's statement - in his 1998 chairman's review - that Randfontein is...

20/ 3,K/ 3

DIALOG(R)File 20:Dialog Global Reporter

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02802721

Cadence Advances Design of Third-Generation Personal  
Multimedia

Communications Systems

BUSINESS WIRE

September 14, 1998

JOURNAL CODE: WBWE LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 1032

... fixed-point implementation. Systems designers create one algorithmic model that is later bound to particular image types and floating or fixed-point properties. A standalone C++ executable specification is automatically generated. This...

...using the EnVision system to develop digital video processing algorithms for its multi-media content creation products for the desktop. Chet Gapinski, director of product development at Media 100 commented, "Using EnVision's modular and powerful simulation environment, we are able to quickly evaluate the video image quality of numerous digital video processing algorithms prior to committing to hardware designs. Algorithms include...

...processing available on the desktop while significantly reducing time to market." The Video Viewer and Image Quality Tester utilities allow designers to measure and manage the quality of compression or other image processing effects. Real-time results of model simulation are analyzed by direct viewing or by...



... systems. The RTL code produced can be used directly by standard logic synthesis tools for implementation of application-specific integrated circuits or field programmable gate arrays. Comprehensive Library Support The new...

... design kit adds modeling of the light path including lenses, field of view, and the image sensor for accurate system simulation. The imaging library includes JPEG, the evolving JPEG2000 standard, and...

...enables designers to accurately model complex 3G wide-band CDMA systems, before major commitments are made to implementation investments. The CDMA toolkit now includes system testbenches for emerging WCDMA specifications such as (UMTS). Detailed models of digital camera and laser printing systems are also available for purchase and customization through the Cadence design services organization. According to Dan Hsia, system engineer at...

... Alta products have the most complete libraries and a feature-rich user interface. The block diagram design representation naturally enhances system documentation, and makes design reuse more practical. Designs that

we create using SPW are readily portable to our partners and help them overcome the difficult challenges... Note to Editors: Cadence is a registered trademark of Cadence Design Systems, Inc. The Cadence logo

, Alta, EnVision, and Visual Architect are trademarks of Cadence Design Systems, Inc. All others are properties of their holders. A product screenshot is available in electronic format upon request . CONTACT: Cadence Design Systems, San Jose Laurel (Laurie) Stanley, 408/428-5019

las@cadence.com...

~ ~ Full text NPL files - 2

21/ 3,K/ 4 (Item 3 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2008 ProQuest Info&Learning. All rts. reserv.

01447807 00-98794  
A graphical discrete event simulation environment  
Au, Grace; Paul, Ray J  
INFOR v35n2 PP: 121-137 May 1997  
ISSN: 0315-5986 JRNL CODE: IOR  
WORD COUNT: 7168

...TEXT: system. The way entities move about in the system forms the basic model logic. In order to make the pictorial description represent, in a fashion the real life picture of the system, each entity type has its own iconic representation in the model. The model logic can then be defined ...

21/3,K/11 (Item 10 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2008 ProQuest Info&Learning. All rts. reserv.

00858755 95-08147  
Windows high-end forms packages take off  
Heck, Mike  
InfoWorld v16n18 PP: 92-105 May 2, 1994  
ISSN: 0199-6649 JRNL CODE: IFW  
WORD COUNT: 11616

...TEXT: created two forms within each product: a standard expense form that included a mix of input fields, text boxes, graphic fills and tabular data, and an office supply order form that involved creating new data in the products' native database format as well as looking up data from...

21/3,K/34 (Item 16 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2008 The Gale Group. All rts. reserv.

05797676 SUPPLIER NUMBER: 11902540 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Eureka! (engineering design innovations) (Cover Story)  
Braham, James  
Machine Design, v64, n3, p32(5)  
Feb 6, 1992  
DOCUMENT TYPE: Cover Story ISSN: 0024-9114 LANGUAGE:  
ENGLISH  
RECORD TYPE: FULLTEXT  
WORD COUNT: 3213 LINE COUNT: 00253

... of the brain's abilities, placing an image in the center of the page in order to facilitate memorization and the creative generation of ideas, and subsequently branches out in associative networks that mirror externally the brain...

21/3,K/40 (Item 2 from file: 275)  
DIALOG(R)File 275:Gale Group Computer DB(TM)

(c) 2008 The Gale Group. All rts. reserv.

01294541 SUPPLIER NUMBER: 07224610 (USE FORMAT 7 OR 9 FOR FULL TEXT)

A technical study of dynamic data exchange under Presentation Manager.

Franklin, Susan; Peters, Tony

Microsoft Systems Journal, v4, n3, p1(16)

May, 1989

ISSN: 0889-9932 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 5224 LINE COUNT: 00428

... REQUEST that was made after the conversation was linked. Since this is the first transmittal of data from the server, the picture must be inserted into the graphics control. If the DDE

~ ~ Full text NPL files - 3

18/ 3,K/ 1 (Item 1 from file: 621)

DIALOG(R)File 621:Gale Group New Prod.Annou.(R)

(c) 2008 The Gale Group. All rts. reserv.

01371601 Supplier Number: 46319290 (USE FORMAT 007 FOR FULLTEXT)  
Pyramid's "Smart Transactions": The Next Step for Next Generation IT

Systems Market  
News Release, pN/A

April 22, 1996

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 734

(USE FORMAT 007 FOR FULLTEXT)

TEXT:

...Siemens Nixdorf (SNI), today introduced its new global program, Smart Transactions, designed to help businesses implement nextgeneration business process automation and on-line transaction processing. With this announcement, Pyramid drops the second shoe, underlining the capability of their RM1000 Cluster Servers configuration to function with feet planted simultaneously in both transaction processing and data warehousing arenas. Pyramid thus leverages the RM1000 (MPP)2 as a high...

...Decision Support on one, integrated computing platform. The Smart Transactions program complements the Smart Warehouse3 initiative (announced by Pyramid and SNI last September), as a logical next step to support customers...

...Process Automation applications. The two initiatives together, foster an integrated, structured approach to developing and implementing a Next-Generation IT system, aligned with corporate strategies, and with capability to support business innovation and growth. The Smart Transactions initiative specifically defines and addresses Five Key Requirements (see: Table 1) for implementing next generation IT systems to provide enterprise-wide, advanced data management. Pyramid/SNI expands the...

...and decision support skills. The Smart Step (three phase) approach defined for the Smart Transactions initiative parallels the Smart Start (also three phase) approach defined for the Smart Warehouse. The intent...

...and discover opportunities for growth and productivity improvement, 2) Establish a pilot project (prototype) to generate benchmark data and expected ROI, 3) Use results of the pilot project to enter the implementation phase with a computing platform optimized for the business enterprise. Pyramid's implementation of the Smart Transaction Program: Leverage the global infrastructure resources established for their Smart Warehouse initiative. Organize with a dedicated engineering, support and sales team. \* Provide a new customer education program...

...deliver optimized performance solutions for specific vertical markets and customers. Pyramid's "fusion" computing platform, implemented by the RM1000 (MPP), providing interconnection/tight integration with their Nile and RM600 (SMPs) leads...

...strategy focuses on providing solutions to specific business needs within a selected vertical market, to generate compelling benchmark data and well optimized systems. Rather than entering into the formal benchmark (SPEC 95, TPC-C/D) race, this strategy intends to assure...

...needs and the applicability of the fusion technology to the wider IT system community needs. Table 1: Key Requirements for Next Generation IT Systems \* Co-existence with current systems, to preserve legacy investment, while facilitating insertion of new technologies and results of reengineering initiatives. \* Three-tier enterprise computing, to provide enterprise...

...VLM), object-relational and Internet technologies. \* Merger/marriage of

information and operational systems, to combine transaction processing with decision support and data analysis capabilities within the IT system, thus enabling increased customer responsiveness, and discovery of new business opportunities. \* Single Image of Enterprise Data, to enable superior enterprise management and transaction control, and product marketing and development better tailored to the marketplace.

~ ~ Full text NPL files - 4

17/3,K/13 (Item 1 from file: 56)  
DIALOG(R)File 56:Computer and Information Systems Abstracts  
(c) 2008 CSA. All rts. reserv.

0000608757 IP ACCESSION NO: 200702-90-016848  
Rendering trimmed NURBS with adaptive forward differencing

Shantz, Micheal; Chang, Sheue-Ling

ACM SIGGRAPH Computer Graphics, v 22, n 4, p 189-198, Aug. 1988  
PUBLICATION DATE: 1988

PUBLISHER: Association for Computing Machinery, Inc., One Astor Plaza,  
1515  
Broadway, New York, NY, 10036-5701  
COUNTRY OF PUBLICATION: USA  
PUBLISHER URL: <http://www.acm.org/>  
PUBLISHER EMAIL: SIGS@acm.org

DOCUMENT TYPE: Journal Article  
RECORD TYPE: Abstract  
LANGUAGE: English  
ISBN: 0897912756  
FILE SEGMENT: Computer & Information Systems Abstracts

ABSTRACT:

... This yields polygons which are then rendered. Alternatively the Oslo algorithm and Boehm's knot insertion algorithms are used in a subdivision approach. In this paper a new method is presented for rendering trimmed NURB surfaces of arbitrary order using the adaptive forward differencing (AFD) technique. This method extends the AFD technique to higher order , efficiently computes the basis matrix for each span, calculates the shading approximation functions for rational surfaces, and trims and image maps NURB surfaces. Trimming is accomplished by using AFD to scan convert the trimming curves...

...which are then rendered with AFD. The method is suitable for both

hardware and software implementations , however, higher order surfaces require very high precision due to the forward difference nature of the algorithm.

17/ 3,K/ 17 (Item 5 from file: 56)  
DIALOG(R)File 56:Computer and Information Systems Abstracts  
(c) 2008 CSA. All rts. reserv.

0000235081 IP ACCESSION NO: 0123879  
Invariant pattern recognition using higher-order neural networks

Wu, Jack; Chang, Jyh-Yeong  
Natl Chiao Tung Univ, Hsinchu, Taiwan

ADDL. SOURCE INFO: PROC INT JT CONF NEURAL NETWORKS, IEEE,  
PISCATAWAY, NJ,  
(USA), 1993, vol. 2, pp. 1273-1275,  
PUBLICATION DATE: 1993

PUBLISHER: IEEE, PISCATAWAY, NJ, (USA)

CONFERENCE:  
1993 International Joint Conference on Neural Networks . Part 2 (of 3),  
Nagoya, Jpn, 10/25-29/93

RECORD TYPE: Abstract  
LANGUAGE: English  
ISBN: 0-7803-1421-2  
FILE SEGMENT: Computer & Information Systems Abstracts  
ABSTRACT:

This paper explores the use of a higher- order neural networks to implement a pattern recognition system that is insensitive to transformations, i.e., translation, rotation, and scaling. The proposed implementation of the invariant system consists of a feature extractor (a third- order neural network) and a trainable classifier (a single-layer linear associative memory). A single parameter, sphericity, which represents the similarity of two triangles, is introduced into the third- order neural network structures, from which the invariant feature vector is extracted. In this way, the invariant pattern recognition problem can be formulated and the invariance property can be proven under the assumption that the input pattern is continuous. The vast storage requirement usually encountered in higher- order networks is overcome, since only the activated pixels have to be processed in our scheme. Translation invariance is guaranteed by our invariant structure for the grid transformation of the binary image . Simulation results for typed numerals with different

feature vector lengths show that the invariant system...

~ ~ Inventor search

? show files;ds

File 347: JAPIO Dec 1976-2007/Oct(Updated 080129)

(c) 2008 JPO & JAPIO

File 348: EUROPEAN PATENTS 1978-2007/ 200807

(c) 2008 European Patent Office

File 349: PCT FULLTEXT 1979-2008/UB= 20080131UT= 20080124

(c) 2008 WIPO/Thomson

File 350: Derwent WPIX 1963-2008/UD= 200811

(c) 2008 The Thomson Corporation

File 371: French Patents 1961-2002/BOPI 200209

(c) 2002 INPI. All rts. reserv.

File 120: U.S. Copyrights 1978-2007/Nov 20

(c) format only 2008 Dialog

File 426: LCMARC-Books 1968-2008/Jan W3

(c) format only 2008 Dialog

File 430: British Books in Print 2007/Jan W3

(c) 2007 J. Whitaker & Sons Ltd.

File 483: Newspaper Abs Daily 1986-2008/Feb 15

(c) 2008 ProQuest Info&Learning

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(c) 2008 Institution of Electrical Engineers

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File 65: Inside Conferences 1993-2008/Feb 15

(c) 2008 BLDSC all rts. reserv.

File 99: Wilson Appl. Sci & Tech Abs 1983-2008/Jan

(c) 2008 The HW Wilson Co.

File 474: New York Times Abs 1969-2008/Feb 14

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File 475: Wall Street Journal Abs 1973-2008/Feb 14

(c) 2008 The New York Times

File 583: Gale Group Globalbase(TM) 1986-2002/Dec 13

(c) 2002 The Gale Group

File 256: TecInfoSource 82-2008/Dec

(c) 2008 Info.Sources Inc

File 139: EconLit 1969-2008/Feb

(c) 2008 American Economic Association

File 9: Business & Industry(R) Jul/1994-2008/Feb 13

(c) 2008 The Gale Group

File 15: ABI/Inform(R) 1971-2008/Feb 14

(c) 2008 ProQuest Info&Learning

File 16: Gale Group PROMT(R) 1990-2008/Feb 13

(c) 2008 The Gale Group

File 20: Dialog Global Reporter 1997-2008/Feb 15

(c) 2008 Dialog



File 148:Gale Group Trade & Industry DB 1976-2008/Jan 30  
(c)2008 The Gale Group

File 160:Gale Group PROMT(R) 1972-1989  
(c) 1999 The Gale Group

File 275:Gale Group Computer DB(TM) 1983-2008/Feb 11  
(c) 2008 The Gale Group

File 476:Financial Times Fulltext 1982-2008/Feb 15  
(c) 2008 Financial Times Ltd

File 610:Business Wire 1999-2008/Feb 04  
(c) 2008 Business Wire.

File 613:PR Newswire 1999-2008/Feb 04  
(c) 2008 PR Newswire Association Inc

File 621:Gale Group New Prod.Annou.(R) 1985-2008/Jan 30  
(c) 2008 The Gale Group

File 624:McGraw-Hill Publications 1985-2008/Feb 14  
(c) 2008 McGraw-Hill Co. Inc

File 634:San Jose Mercury Jun 1985-2008/Feb 13  
(c) 2008 San Jose Mercury News

File 636:Gale Group Newsletter DB(TM) 1987-2008/Feb 13  
(c) 2008 The Gale Group

File 810:Business Wire 1986-1999/Feb 28  
(c) 1999 Business Wire

File 813:PR Newswire 1987-1999/Apr 30  
(c) 1999 PR Newswire Association Inc

File 267:Finance & Banking Newsletters 2008/Jan 28  
(c) 2008 Dialog

File 268:Banking Info Source 1981-2008/Feb W1  
(c) 2008 ProQuest Info&Learning

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(c) 2008 Bond Buyer

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(c) 2008 The Gale Group

File 56:Computer and Information Systems Abstracts 1966-2008/Dec  
(c) 2008 CSA.

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(c) 2008 The Gale Group

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(c) 2007 Pira International

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Set	Items	Description
S1	2349	AU= (FRIESEN, R? OR FRIESEN R? OR FRIESEN, DICK OR FRIESEN - DICK OR HART, P? OR HART P?)
S2	510	S1 FROM 347,348,349,350,371

S3 234 GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR  
TABULATION OR  
DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR  
TIME  
OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR  
ROW OR  
ROWS)  
S4 176 S2 AND S3  
S5 435 AUTOGENERAT??? OR CAUSE OR CAUSES OR CAUSING OR  
CREAT??? OR  
FORMULAT??? OR GENERATE OR GENERATES OR GENERATING OR  
IMPLEM-  
ENT? OR INITIAT??? OR LAUNCH??? OR MADE OR MAKE? ? OR (SET  
OR  
SETS OR SETT?)(2W)MOTION  
S6 56 S4(S)S5  
S7 19 S4(10N)S5  
S8 19 IDPAT (sorted in duplicate/non-duplicate order)  
S9 19 IDPAT (primary/non-duplicate records only)  
S10 1839 S1 NOT S2  
S11 58 S3 AND S10  
S12 9 S5(S)S11  
S13 5 S12 NOT PY> 1999  
S14 4 S13 NOT PD= 19990410:20080331  
S15 4 RD (unique items)  
S16 23 S9 OR S15

16/ AA,AN,AZ,TI/ 1 (Item 1 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

02390986  
Techniques for generating and using a fingerprint for an article  
Verfahren zur Erzeugung und Verwendung eines Fingerabdrucks  
für einen  
Artikel  
Techniques pour la generation et l'utilisation d'une empreinte  
digitale  
pour un article  
APPLICATION (CC, No, Date): EP 2007113300 070727;  
PRIORITY (CC, No, Date): US 495613 060728

16/ AA,AN,AZ,TI/ 2 (Item 2 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

02035711  
Techniques for encoding media objects to a static visual  
representation

Kodierung von Medienobjekten in statische visuelle  
Representationen

Codage des objets media dans une representation visuelle statique

APPLICATION (CC, No, Date): EP 2005020674 050922;

PRIORITY (CC, No, Date): US 954069 040928

16/ AA,AN,AZ,TI/ 3 (Item 3 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

02035690

Techniques for decoding and reconstructing media objects from a  
still

visual representation

Dekodierung und Rekonstruktion von Medienobjekten aus statischen  
visuellen

Repräsentationen

Decodage et reconstruction des objets media d'une representation  
visuelle

statique

APPLICATION (CC, No, Date): EP 2005020586 050921;

PRIORITY (CC, No, Date): US 953439 040928

16/ AA,AN,AZ,TI/ 4 (Item 4 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

02035636

Interactive design process for creating stand-alone visual  
representations

for media objects

Interaktives Gestaltungsverfahren zur Erzeugung eigenständiger  
visueller

Repräsentationen für Medienobjekte

Procede de conception interactif pour generation de  
representations

visuelles autonomes pour objets multimedias

APPLICATION (CC, No, Date): EP 2005020160 050915;

PRIORITY (CC, No, Date): US 952606 040928

16/ AA,AN,AZ,TI/ 5 (Item 5 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01707121

Techniques for determining electronic document information for  
paper

documents

Techniken zur Bestimmung von elektronischen Dokumenten-  
Informationen für

Papierdokumente

Techniques pour déterminer des informations électroniques  
dans des

documents pour des documents papier

APPLICATION (CC, No, Date): EP 2003018794 030828;

PRIORITY (CC, No, Date): US 235042 020903

16/ AA,AN,AZ,TI/ 6 (Item 6 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00307454

Cellular telephone apparatus.

Zellular-Fernsprechapparat.

Appareil téléphonique cellulaire.

APPLICATION (CC, No, Date): EP 88202406 881028;

PRIORITY (CC, No, Date): GB 8725626 871102

16/ AA,AN,AZ,TI/ 7 (Item 1 from file: 349)

DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01481508

SYSTEM AND METHODS FOR CREATION AND USE OF A MIXED MEDIA  
ENVIRONMENT

SYSTEME ET PROCÉDES DESTINÉS À LA CREATION ET À  
L'UTILISATION D'UN

ENVIRONNEMENT À SUPPORT MIXTE

Application: WO 2006JP316814 20060822 (PCT/WO JP2006316814)

16/ AA,AN,AZ,TI/ 8 (Item 2 from file: 349)

DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01480648

METHOD AND SYSTEM FOR IMAGE MATCHING IN A MIXED MEDIA  
ENVIRONMENT

À UN VONT PROCÉDE ET SYSTEME D'APPARIEMENT D'IMAGES  
DANS ENVIRONNEMENT

MULTIMEDIA MIXTE

Application: WO 2006JP316811 20060822 (PCT/WO JP2006316811)

16/ AA,AN,AZ,TI/ 9 (Item 3 from file: 349)

DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01480150  
EMBEDDING HOT SPOTS IN ELECTRONIC DOCUMENTS  
INSERTION DE POINTS CHAUDS DANS DES DOCUMENTS  
ELECTRONIQUES  
Application: WO 2006JP316810 20060822 (PCT/WO JP2006316810)

16/ AA,AN,AZ,TI/ 10 (Item 4 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01479685  
DATA ORGANIZATION AND ACCESS FOR MIXED MEDIA DOCUMENT  
SYSTEM  
ORGANISATION DES DONNEES ET ACCES AUX DONNEES POUR  
SYSTEMES DE DOCUMENTS  
MULTIMEDIA MIXTES  
Application: WO 2006JP316812 20060822 (PCT/WO JP2006316812)

16/ AA,AN,AZ,TI/ 11 (Item 5 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01403328  
A WATER DETENTION SYSTEM INCORPORATING A COMPOSITE  
DRAINAGE MEMBRANE  
SYSTEME DE RETENUE POUR L'EAU COMPRENANT UNE MEMBRANE  
FILTRANTE COMPOSITE  
Application: WO 2006GB474 20060209 (PCT/WO GB2006000474)

16/ AA,AN,AZ,TI/ 12 (Item 6 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01327117  
WATER SUMP STRUCTURE  
STRUCTURE DE PUISARD D'EAU  
Application: WO 2005GB2247 20050607 (PCT/WO GB2005002247)

16/ AA,AN,AZ,TI/ 13 (Item 7 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01056132  
DELIVERY OF A SUBSTANCE TO A PRE-DETERMINED SITE  
ADMINISTRATION D'UNE SUBSTANCE SUR UN SITE PREDETERMINE  
Application: WO 2003NL256 20030404 (PCT/WO NL0300256)

16/ AA,AN,AZ,TI/ 14 (Item 8 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00942323  
METHODS AND COMPOSITIONS FOR REMOVAL DEPOSITS FROM  
HYDROCARBON PROCESSING  
EQUIPMENT  
PROCEDES ET COMPOSITIONS POUR ELIMINER LES DEPOTS  
D'UN EQUIPEMENT DE  
TRAITEMENT D'HYDROCARBURES  
Application: WO 2002US6281 20020301 (PCT/WO US0206281)

16/ AA,AN,AZ,TI/ 15 (Item 9 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00936443  
IMPROVEMENTS IN PRINTING  
AMELIORATIONS EN MATIERE D'IMPRESSIION  
Application: WO 2002GB849 20020301 (PCT/WO GB0200849)

16/ AA,AN,AZ,TI/ 16 (Item 10 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00926390  
STABILIZER BLENDS FOR ALCOHOL IN HYDROCARBON FUEL  
MELANGES STABILISANTS DE L'ALCOOL DANS UN COMBUSTIBLE  
HYDROCARBONE  
Application: WO 2001US49267 20011218 (PCT/WO US0149267)

16/ AA,AN,AZ,TI/ 17 (Item 11 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00783303  
USER INTERFACE FOR SEMI-FUNGI BLE TRADING  
INTERFACE UTILISATEUR POUR ECHANGES SEMI-FONGI BLES  
Application: WO 2000US40797 20000830 (PCT/WO US0040797)

16/ AA,AN,AZ,TI/ 18 (Item 12 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00749567  
USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM  
INTERFACE UTILISATEUR POUR SYSTEME DE TRANSACTIONS  
INFORMATISEES

Application: WO 2000US9369 20000407 (PCT/WO US0009369)

16/ AA,AN,AZ,TI/ 19 (Item 13 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00574744

METHOD AND SYSTEM FOR A VIRTUAL ASSEMBLY DESIGN  
ENVIRONMENT  
PROCEDE ET SYSTEME UTILISABLES DANS UN ENVIRONNEMENT  
VIRTUEL DE CONCEPTION  
D'ENSEMBLES

Application: WO 99US30753 19991223 (PCT/WO US9930753)

16/ AA,AN,AZ,TI/ 20 (Item 1 from file: 2)  
DIALOG(R)File 2:(c) 2008 Institution of Electrical Engineers. All rts.  
reserv.

01083106 INSPEC Abstract Number: A70002509  
Title: Geodetic measurements for the study of crustal movements

16/ AA,AN,AZ,TI/ 21 (Item 1 from file: 148)  
DIALOG(R)File 148:(c)2008 The Gale Group. All rts. reserv.

08274499 SUPPLIER NUMBER: 17621098  
Police stress and well-being: integrating personality, coping and  
daily  
work experiences.

16/ AA,AN,AZ,TI/ 22 (Item 2 from file: 148)  
DIALOG(R)File 148:(c)2008 The Gale Group. All rts. reserv.

07303308 SUPPLIER NUMBER: 16109654  
Teacher quality of work life: integrating work experiences,  
psychological  
distress and morale.

16/ AA,AN,AZ,TI/ 23 (Item 3 from file: 148)  
DIALOG(R)File 148:(c)2008 The Gale Group. All rts. reserv.

06468379 SUPPLIER NUMBER: 13840214  
Crisis decision making: the centralization thesis revisited.

~ ~ Bibliographic patent files

? show files;ds

File 347: JAPIO Dec 1976-2007/Oct(Updated 080129)

(c) 2008 JPO & JAPIO

File 350: Derwent WPIX 1963-2008/UD= 200811

(c) 2008 The Thomson Corporation

File 371: French Patents 1961-2002/BOPI 200209

(c) 2002 INPI. All rts. reserv.

Set Items Description

S1 2306551 GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR  
TABULATION OR

DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR  
TIME

OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR

ROW OR

ROWS)

S2 2306551 GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR  
TABULATION OR

DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR  
TIME

OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR

ROW OR

ROWS)

S3 913199 PLACE? ? OR PLACING OR ENTER??? OR INPUT OR INPUTS  
OR INPU-

TT??? OR PUT OR PUTS OR PUTTING OR INSERT??? OR TYPE OR

TYPES

OR TYPING

S4 328960 ICON OR PICTURE OR GRAPHIC OR EMBLEM OR LOGO OR  
IMAGE OR I-

KON

S5 708474 AUTOGENERAT??? OR CAUSE OR CAUSES OR CAUSING OR  
CREAT??? OR

FORMULAT??? OR GENERATE OR GENERATES OR GENERATING OR  
IMPLEM-

ENT? OR INITIAT??? OR LAUNCH??? OR MADE OR MAKE? ? OR (SET  
OR

SETS OR SETT?)(2W)MOTION

S6 216164 ORDER OR REQUEST OR REQUISITION OR BUY OR  
PURCHASE OR TRAN-

SACTION OR TRADE OR TRADING

S7 6099 S2(10N)(S3(3N)S4)

S8 19583 S5(3N)S6

S9 5 S7(20W)S8

S10 8 S7(20N)S8

S11 23 S7(S)S8



S12 1181 S2(S)S3(S)S4(S)S5(S)S6  
S13 97 S7(S)S12  
S14 224 S8(S)S12  
S15 23 S9 OR S10 OR S11  
S16 23 IDPAT (sorted in duplicate/non-duplicate order)  
S17 23 IDPAT (primary/non-duplicate records only)

17/ AN,AZ,TI/ 1 (Item 1 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0015686111  
Image processing apparatus e.g. electronic camera, has smoothing unit  
increasing smoothness of movie display by suppressing high spatial frequency components in superimposed image frame as alienation of motion  
between image frames

Original Titles:  
Vorrichtung, Programm und Verfahren zum Herstellen eines Films aus Standbildern  
Image processing apparatus, program, and method for performing preprocessing for movie reproduction of still images  
Dispositif, programme et Procédé pour creation de film a partir d'images fixes  
Image processing apparatus, program, and method for performing preprocessing for movie reproduction of still images  
Local Applications (No Type Date): US 2005229747 A 20050920; EP 200520594  
A 20050921; JP 2004276063 A 20040922  
Priority Applications (no., kind, date): JP 2004276063 A 20040922

17/ AN,AZ,TI/ 2 (Item 2 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0014762965  
Gray-scale transformation processing device for e.g. scanner, has lookup table in which correspondences between high-order bits data and correction coefficient groups providing transformation curves are stored

Original Titles:  
Gray-scale transformation processing device, electronic camera, and gray-scale transformation program  
Local Applications (No Type Date): US 2004874251 A 20040624; JP

2003270102 A 20030701  
Priority Applications (no., kind, date): JP 2003270102 A 20030701

17/ AN,AZ,TI/ 3 (Item 3 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0013901753  
Graphical program configuration method e.g. for menu, involves displaying relevant attributes of graphical program element, based on specified graphical program element filter option

Original Titles:  
Filtering graphical program elements based on configured or targeted resources  
Filtering graphical program elements based on configured or targeted resources  
Local Applications (No Type Date): US 2002174347 A 20020618; US 2002174347 A 20020618  
Priority Applications (no., kind, date): US 2002174347 A 20020618

17/ AN,AZ,TI/ 4 (Item 4 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0012799902  
Food/ drink ordering system in restaurant, supplies selected item of food and drink to customer table, based on input of item during menu display

Original Titles:  
FOOD AND DRINK ORDERING APPARATUS IN RESTAURANT  
Food and drink ordering system in eating and drinking place  
Food and drink ordering system in eating and drinking place  
Local Applications (No Type Date): US 200253631 A 20020122; JP 200118056 A 20010126; US 200253631 A 20020122  
Priority Applications (no., kind, date): JP 200118056 A 20010126; US 200253631 A 20020122

17/ AN,AZ,TI/ 5 (Item 5 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0012436193

Bandwidth scaling method for compressed video stream, involves recompressing decompressed stream at higher decompression and quantization levels, using reusable source motion vectors

Original Titles:

Bandwidth scaling of a compressed video stream

Bandwidth scaling of a compressed video stream.

Local Applications (No Type Date): US 2000214550 P 20000627; US 2001887991 A 20010623; US 2001887991 A 20010623

Priority Applications (no., kind, date): US 2000214550 P 20000627; US 2001887991 A 20010623

17/ AN,AZ,TI/ 6 (Item 6 from file: 350)

DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0009221115

Data processor for e.g. laser printer, digital copier, facsimile machine

-

has smoothing circuit which outputs printing image data of each line according to line data simultaneously read out from RAMs

Original Titles:

DATA PROCESSOR

Data processor

Data processing device for simultaneously reading out plural lines of image and a method therefor.

Local Applications (No Type Date): JP 1997168310 A 19970625; US 1998104325 A 19980625; JP 1997168310 A 19970625

Priority Applications (no., kind, date): JP 1997168310 A 19970625

17/ AN,AZ,TI/ 7 (Item 7 from file: 350)

DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0008960334

Chrominance signal image processor of colour ink jet printer - stores several tables which is referred by unique higher order bit

Original Titles:

PICTURE PROCESSOR AND PICTURE PROCESSING METHOD

Local Applications (No Type Date): JP 199725172 A 19970207

Priority Applications (no., kind, date): JP 199725172 A 19970207

17/ AN,AZ,TI/ 8 (Item 8 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0008594708  
Image two-dimensional affine transformation apparatus - which  
calculates  
intensity values of output metal pixel as being proportional to sum of  
scaled portions of intermediate metapixels which cover output pixels

Original Titles:  
Apparatus for 2-D affine transformation of images.  
Local Applications (No Type Date): US 1992911832 A 19920710; US  
1994254150 A 19940606  
Priority Applications (no., kind, date): US 1992911832 A 19920710; US  
1994254150 A 19940606

17/ AN,AZ,TI/ 9 (Item 9 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0008441996  
Rotating run length encoded image for optical character recognition  
reader  
- using predefined pixel mapping sequence to rotate angle with  
rational  
tangent

Original Titles:  
LANGEKODIERTE BILDDREHUNG  
RUN-LENGTH ENCODED IMAGE ROTATION  
ROTATION D'IMAGES CODEES SUR LA LONGUEUR D'UN PASSAGE  
BILDDREHUNG  
IMAGE ROTATION  
ROTATION D'IMAGES  
Method and system for fast rotation of run-length encoded images.  
RUN-LENGTH ENCODED IMAGE ROTATION  
Local Applications (No Type Date): US 1995507793 A 19950725; WO  
1996US12137 A 19960724; EP 1996925439 A 19960724; WO  
1996US12137 A  
19960724; WO 1996US12137 A 19960724; JP 1997507695 A 19960724;  
WO  
1996US12137 A 19960724; JP 1997507695 A 19960724; EP  
1996925439 A  
19960724; WO 1996US12137 A 19960724; DE 69607355 A 19960724;

EP

1996925439 A 19960724; WO 1996US12137 A 19960724; EP  
1996925439 A  
19960724; CA 2227289 A 19960724; WO 1996US12137 A 19960724  
Priority Applications (no., kind, date): US 1995507793 A 19950725

17/ AN,AZ,TI/ 10 (Item 10 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0007986339

Insertion of static and dynamic images into live video broadcast -  
identifying natural landmarks within video scene that may be tracked  
as  
field of view of camera pans and zooms across scene, with landmarks  
being  
stored as constellation on mathematical grid

Original Titles:

VERFAHREN UND VORRICHTUNG ZUM EINFUGEN VON DYNAMISCHEN UND  
STATISCHEN  
BILDERN IN EINER ECHTZEITVIDEOBERTRAGUNG  
SYSTEM AND METHOD FOR INSERTING STATIC AND DYNAMIC IMAGES INTO  
A LIVE VIDEO  
BROADCAST  
SYSTEME ET PROCEDE D'INSERTION D'IMAGES DYNAMIQUES ET STATIQUES  
DANS UNE  
EMISSION VIDEO EN DIRECT  
System and method for inserting static and dynamic images into a live video  
broadcast.  
SYSTEM AND METHOD FOR INSERTING STATIC AND DYNAMIC IMAGES INTO  
A LIVE VIDEO  
BROADCAST

Local Applications (No Type Date): WO 1996US10163 A 19960612; AU  
199662760 A 19960612; EP 1996921559 A 19960612; WO  
1996US10163 A  
19960612; US 1995563598 A 19951128; WO 1996US10163 A  
19960612; JP  
1997503297 A 19960612; BR 19969169 A 19960612; WO 1996US10163  
A  
19960612; MX 199710191 A 19971216; MX 199710191 A 19971216  
Priority Applications (no., kind, date): WO 1996US10163 A 19960612; US  
1995279 P 19950616; US 1995563598 A 19951128

17/ AN,AZ,TI/ 11 (Item 11 from file: 350)

DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0007689274

Halftone dot pattern constructing system for high resolution printer - generates set of halftone intensity values corresp. to intensity level on input command curve, calculates halftone dot pattern for each value represented by halftone cell, calculates value for each position, and stores in look-up table

Original Titles:

Analytische Konstruktion von Halbtonbildpunkten fuer einen Drucker mit Hyperaufloesung

Analytical halftone dot construction for a hyperacuity printer

Construction analytique d'un point d'image a demi-teintes pour une imprimante avec hyper-resolution

Analytische Konstruktion von Halbtonbildpunkten fur einen Drucker mit Hyperauflosung

Analytical halftone dot construction for a hyperacuity printer

Construction analytique d'un point d'image a demi-teintes pour une imprimante avec hyper-resolution

HALFTONE DOT PATTERN CONSTITUTION METHOD

Analytical halftone dot construction for a hyperacuity printer.

Local Applications (No Type Date): EP 1996300071 A 19960103; JP 1995353528 A 19951228; CA 2169399 A 19960213; US 1995368459 A 19950104; CA 2169399 A 19960213; EP 1996300071 A 19960103; DE 69628771 A 19960103; EP 1996300071 A 19960103

Priority Applications (no., kind, date): US 1995368459 A 19950104; EP 1996300071 A 19960103; CA 2169399 A 19960213

17/ AN,AZ,TI/ 12 (Item 12 from file: 350)

DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0007549740

Digital copying machine with character image recognition - has laser beam printer which prints file name stored in memory unit

Original Titles:

DIGITAL COPY MACHINE

Method and apparatus for recognizing images of documents and storing different types of information in different files.

Local Applications (No Type Date): JP 1994175646 A 19940727; US 1995507194 A 19950726

Priority Applications (no., kind, date): JP 1994175646 A 19940727

17/ AN,AZ,TI/ 13 (Item 13 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0006977608

Automatic handwriting recognition using both static and dynamic parameters  
- generates and processes tablet data with three independent sets of feature vectors which encode shape information of input character information including horizontal and vertical slices of bit mapped input character image data

Original Titles:

Automatische Zeichenerkennung mit Verwendung statischer und dynamischer Parameter

Automatic handwriting recognition using both static and dynamic parameters  
Reconnaissance automatique de caracteres, utilisant des parametres statiques et dynamiques

Automatische Zeichenerkennung mit Verwendung statischer und dynamischer Parameter

Automatic handwriting recognition using both static and dynamic parameters  
Reconnaissance automatique de caracteres, utilisant des parametres statiques et dynamiques

Automatic handwriting recognition using both static and dynamic parameters  
Automatic handwriting recognition using both static and dynamic parameters.  
Automatic handwriting recognition using both static and dynamic parameters.  
Automatic handwriting recognition using both static and dynamic parameters.  
Automatic handwriting recognition using both static and dynamic parameters.

Local Applications (No Type Date): EP 1994100357 A 19940112; EP 1994100357 A 19940112; US 19939515 A 19930127; US 19939515 A 19930127; US 1995450558 A 19950525; US 19939515 A 19930127; US 1995450556 A 19950525; US 19939515 A 19930127; US 1995451001

A 19950525; US 19939515 A 19930127; US 1995450557 A 19950525; EP 1994100357 A 19940112; DE 69424196 A 19940112; EP 1994100357 A 19940112

Priority Applications (no., kind, date): US 19939515 A 19930127; US 1995450556 A 19950525; US 1995450557 A 19950525; US 1995450558

A 19950525; US 1995451001 A 19950525

17/ AN,AZ,TI/ 14 (Item 14 from file: 350)

DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0006744850

Active matrix light valve device - has driving electrodes of matrix type  
for conducting signals output from X and Y driving circuits, and display  
pixel electrode arranged at cross section of driving electrodes

Original Titles:

Lichtventil mit aktiver Matrix

Active matrix light valve device

Valve de lumiere a matrice active

LIGHT VALVE DEVICE, STEREOSCOPIIC IMAGE DISPLAY DEVICE, AND IMAGE PROJECTOR

Light valve device

Light valve device.

Light valve device

Local Applications (No Type Date): EP 1993308123 A 19931012; JP

1993233594 A 19930920; EP 1993308123 A 19931012; JP 1993233594

A

19930920; US 1993132692 A 19931006; US 1993132692 A 19931006;

US

2001931843 A 20010817; US 1993132692 A 19931006; US 2001931843

A

20010817

Priority Applications (no., kind, date): JP 1992273023 A 19921012; JP

1992277269 A 19921015; JP 1992280326 A 19921019; JP 1992280327

A

19921019; JP 1992297195 A 19921106; JP 1993233594 A 19930920

17/ AN,AZ,TI/ 15 (Item 15 from file: 350)

DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0006666233

Histogram processor for image enhancement - has configuration unit which  
configures histogram creating unit according to selected trade-off to perform one of multiple histograms

Original Titles:

Bildprozessor

Local Applications (No Type Date): GB 199317211 A 19930818; DE

4328128 A

19930820; FR 199310180 A 19930823; CA 2104571 A 19930820; FR

199310180 A 19930823; FR 19941017 A 19940131; IL 102904 A



19920821

Priority Applications (no., kind, date): IL 102904 A 19920821

17/ AN,AZ,TI/ 16 (Item 16 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0006370342

Image processing appts. generating graphic icons to produce  
computer image  
- implements control points for icons which blink to indicate which  
part of  
drawing operation is required next.

Original Titles:

Vorrichtung und Verfahren zur Bilderzeugung mittels graphischen Ikonen  
Apparatus and method for creating an image using graphic icons  
Dispositif et methode pour creer une image en utilisant des icones  
graphiques  
Method and apparatus for creating a graphic using graphic icons.  
Local Applications (No Type Date): EP 1992310464 A 19921117; US  
1992970513 A 19921102  
Priority Applications (no., kind, date): JP 1991331520 A 19911121

17/ AN,AZ,TI/ 17 (Item 17 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0006190607

Adaptive phone shading for computer generated images - has  
adaptive shader,  
location separator, curvature determining device, light vector  
determiner  
and reflection equation controller

Original Titles:

Verfahren und Einrichtung zur Erzeugung von schattierten Abbildungen  
Verfahren und Einrichtung zur Erzeugung von schattierten Abbildungen  
Method and apparatus for adaptive Phong shading  
Local Applications (No Type Date): DE 4124564 A 19910724; CN  
1991105218  
A 19910726; AU 199171394 A 19910226; US 1990560869 A 19900726;  
GB  
19914327 A 19910301; SG 199590744 A 19950421; KR 199111442 A  
19910706; CN 1991105218 A 19910726; CN 1999102577 A 19910726;  
CA

2045889 A 19910628; CN 1991105218 A 19910726; DE 4124564 A 19910724

Priority Applications (no., kind, date): US 1990560869 A 19900725; US 1990560869 A 19900726

17/ AN,AZ,TI/ 18 (Item 18 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0006175876

Image memory device for computer system storing image of video camera -  
creates reverse gamma-correction data, which is to be set in input look-up table, in dependence upon image pick-up used, and gamma-correction data, which is to be set in output look-up table, in dependence upon display used

Original Titles:

PICTURE MEMORY DEVICE AND ITS OPERATION

Image memory device and method of operating same.

Local Applications (No Type Date): JP 1991109620 A 19910416; US 1992868208 A 19920414; US 1994235221 A 19940429; JP 1991109620 A

19910416

Priority Applications (no., kind, date): JP 1991109620 A 19910416

17/ AN,AZ,TI/ 19 (Item 19 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0003336741

Photomask pattern mfg. method - using two exposure modes and registering vernier patterns of unit patterns to measure printing shear

Original Titles:

Verfahren fuer die Herstellung von Motiven fuer Fotomasken

Method of fabricating a photomask pattern

Procede de fabrication de motifs pour photomasques

Verfahren fuer die Herstellung von Motiven fuer Fotomasken

Method of fabricating a photomask pattern

Procede de fabrication de motifs pour photomasques

PRINTING METHOD FOR MASK

Method for fabricating a photomask pattern

Local Applications (No Type Date): EP 1984307030 A 19841015; JP  
1983194580 A 19831017; US 1984658626 A 19841009; EP 1984307030  
A

19841015  
Priority Applications (no., kind, date): JP 1983194580 A 19831017

17/ AN,AZ,TI/ 20 (Item 20 from file: 350)  
DIALOG(R)File 350:(c) 2008 The Thomson Corporation. All rts. reserv.

0003015239  
Inspecting LSI circuit pattern drawn on photomask - calculating  
position of  
each measured point in units smaller than pixel size, and comparing  
measured and reference data to detect defect

Original Titles:

Vorrichtung zum Pruefen eines auf einer fuer die Herstellung von  
hochintegrierten Schaltungen vorgesehenen Photomaske aufgebracht  
Stromkreismusters

Apparatus for inspecting a circuit pattern drawn on a photomask used in  
manufacturing large scale integrated circuits

Dispositif pour tester une configuration de circuit trace sur un  
photomasque utilise pour la fabrication de circuits integres a grande  
echelle

Vorrichtung zum Pruefen eines auf einer fuer die Herstellung von  
hochintegrierten Schaltungen vorgesehenen Photomaske aufgebracht  
Stromkreismusters

Apparatus for inspecting a circuit pattern drawn on a photomask used in  
manufacturing large scale integrated circuits

Dispositif pour tester une configuration de circuit trace sur un  
photomasque utilise pour la fabrication de circuits integres a grande  
echelle

PATTERN INSPECTOR

Apparatus for inspecting a circuit pattern drawn on a photomask used in  
manufacturing large scale integrated circuits

Local Applications (No Type Date): EP 1983305534 A 19830920; JP  
1982173980 A 19821005; US 1983535334 A 19830923; EP 1983305534  
A

19830920  
Priority Applications (no., kind, date): JP 1982173980 A 19821005

17/ AN,AZ,TI/ 21 (Item 21 from file: 347)  
DIALOG(R)File 347:(c) 2008 JPO & JAPIO. All rts. reserv.

08309437  
IMAGE PICKUP DEVICE

APPL. NO.: 2003-289325 [JP 2003289325]

17/ AN,AZ,TI/ 22 (Item 22 from file: 347)  
DIALOG(R)File 347:(c) 2008 JPO & JAPIO. All rts. reserv.

06767095  
PICTURE REPRODUCING METHOD OF ELECTRONIC PRINTER

APPL. NO.: 11-163028 [JP 99163028]

17/ AN,AZ,TI/ 23 (Item 23 from file: 347)  
DIALOG(R)File 347:(c) 2008 JPO & JAPIO. All rts. reserv.

03116661  
METHOD FOR CONVERTING PRINTED TRANSMITTED PRIMARY COLORS

APPL. NO.: 63-245757 [JP 88245757]

~ ~ Full text patent files

? show files;ds  
File 348:EUROPEAN PATENTS 1978-2007/ 200807  
(c) 2008 European Patent Office  
File 349:PCT FULLTEXT 1979-2008/UB= 20080131UT= 20080124  
(c) 2008 WIPO/Thomson

Set	Items	Description
S1	1268884	GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR TABULATION OR DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR TIME OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR ROW OR ROWS)
S2	1268884	GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR TABULATION OR DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR TIME OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR ROW OR ROWS)
S3	1194622	PLACE? ? OR PLACING OR ENTER??? OR INPUT OR INPUTS

OR INPU-  
 TT??? OR PUT OR PUTS OR PUTTING OR INSERT??? OR TYPE OR  
 TYPES  
 OR TYPING  
 S4 432662 ICON OR PICTURE OR GRAPHIC OR EMBLEM OR LOGO OR  
 IMAGE OR I-  
 KON  
 S5 1195858 AUTOGENERAT??? OR CAUSE OR CAUSES OR CAUSING OR  
 CREAT??? OR  
 FORMULAT??? OR GENERATE OR GENERATES OR GENERATING OR  
 IMPLEM-  
 ENT? OR INITIAT??? OR LAUNCH??? OR MADE OR MAKE? ? OR (SET  
 OR  
 SETS OR SETT?)(2W)MOTION  
 S6 1135351 ORDER OR REQUEST OR REQUISITION OR BUY OR  
 PURCHASE OR TRAN-  
 SACTION OR TRADE OR TRADING  
 S7 5824 S2(10N)(S3(3N)S4)  
 S8 162903 S5(3N)S6  
 S9 12 S7(20W)S8  
 S10 21 S7(20N)S8  
 S11 19718 S2(S)(S3(5N)S4)  
 S12 190778 S5(5N)S6  
 S13 106 S11(20W)S12  
 S14 30 S13 AND IC= (G06F OR G06Q)  
 S15 41 S9 OR S14  
 S16 41 IDPAT (sorted in duplicate/non-duplicate order)  
 S17 40 IDPAT (primary/non-duplicate records only)

17/ AN,AZ,TI/ 1 (Item 1 from file: 348)  
 DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

02038564  
 Secure transaction management  
 Sicheres Transaktionsmanagement  
 Gestion de transactions securisees  
 APPLICATION (CC, No, Date): EP 2005077923 960213;  
 PRIORITY (CC, No, Date): US 388107 950213

17/ AN,AZ,TI/ 2 (Item 2 from file: 348)  
 DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01952568  
 Image processing device  
 Bildverarbeitungsgerat  
 Dispositif de traitement d'image  
 APPLICATION (CC, No, Date): EP 2004380053 040308;

17/ AN,AZ,TI/ 3 (Item 3 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01901324  
Document processing apparatus and document processing method  
Vorrichtung und Verfahren zur Bearbeitung von Dokumenten  
Procédé et dispositif de traitement de documents  
APPLICATION (CC, No, Date): EP 2004257075 041115;  
PRIORITY (CC, No, Date): JP 2003389655 031119

17/ AN,AZ,TI/ 4 (Item 4 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01840244  
Information processing apparatus and method, and print control  
program  
Datenverarbeitungsanordnung und -verfahren und  
Drucksteuerungsprogramm  
Dispositif et procédé de traitement de données et logiciel de  
gestion  
d'imprimé  
APPLICATION (CC, No, Date): EP 2004253879 040629;  
PRIORITY (CC, No, Date): JP 2003194545 030709

17/ AN,AZ,TI/ 5 (Item 5 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01805903  
IMAGE PROCESSING DEVICE, METHOD, AND PROGRAM  
BILDVERARBEITUNGSEINRICHTUNG, VERFAHREN UND PROGRAMM  
DISPOSITIF, PROCÉDE ET PROGRAMME DE TRAITEMENT D'IMAGES  
APPLICATION (CC, No, Date): EP 2004710975 040213; WO 2004JP1584  
040213  
PRIORITY (CC, No, Date): JP 200352290 030228

17/ AN,AZ,TI/ 6 (Item 6 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01800847  
SIGNAL PROCESSING DEVICE, METHOD, AND PROGRAM  
SIGNALVERARBEITUNGSEINRICHTUNG, VERFAHREN UND  
PROGRAMM  
DISPOSITIF, PROCÉDE ET PROGRAMME DE TRAITEMENT DE SIGNAUX

APPLICATION (CC, No, Date): EP 2004710482 040212; WO 2004JP1488  
040212

PRIORITY (CC, No, Date): JP 200334506 030213

17/ AN,AZ,TI/ 7 (Item 7 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01561102

Print control method, print control program, and print control  
apparatus

Drucker Steuerungsverfahren, Drucker Steuerungsprogramm,  
Drucker

Steuerungsgerat

Procede de commande d'impression, programme de commande  
d'impression,

appareil de commande d'impression

APPLICATION (CC, No, Date): EP 2002256617 020924;

PRIORITY (CC, No, Date): JP 2001295713 010927

17/ AN,AZ,TI/ 8 (Item 8 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01552002

Digital image receiving apparatus

Digitales Gerat zum Empfang von digitalen Abbildungen

Dispositif pour recevoir des images numeriques

APPLICATION (CC, No, Date): EP 2002019576 020902;

PRIORITY (CC, No, Date): JP 2001268956 010905

17/ AN,AZ,TI/ 9 (Item 9 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01475340

CONTENT PROVIDING/ ACQUIRING SYSTEM

INHALTSBEREITSTELLUNGS-/ ERFASSUNGSSYSTEM

SYSTEME DE FOURNITURE ET D'ACQUISITION DE CONTENUS

APPLICATION (CC, No, Date): EP 2002703877 020221; WO 2002JP1547  
020221

PRIORITY (CC, No, Date): JP 200145905 010222; JP 200220766 020129; JP  
200220770 020129

17/ AN,AZ,TI/ 10 (Item 10 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01431155

A method for enhancing a digital image based upon pixel color  
Von Pixelfarben abhingendes Verbesserungsverfahren für digitale  
Bilder

Procédé d'amélioration d'images numériques basé sur les  
couleurs des  
éléments d'image

APPLICATION (CC, No, Date): EP 2001203319 010903;

PRIORITY (CC, No, Date): US 661268 000913

17/ AN,AZ, TI/ 11 (Item 11 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01318489

A network portal system and methods

Netzwerkzugangssystem und -verfahren

Portique de réseau et procédé associé

APPLICATION (CC, No, Date): EP 2001100131 010115;

PRIORITY (CC, No, Date): EP 2000100738 000114; EP 2000100211 000114;

EP

2000100740 000114; EP 2000100212 000114; EP 2000100739 000114

17/ AN,AZ, TI/ 12 (Item 12 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01294896

A method for enhancing a digital image with noise-dependent  
control of

texture

Verfahren zur Verbesserung eines digitalen Bildes mit  
rauschabhängiger

Kontrolle der Textur

Procédé pour rehausser une image numérique avec réglage de la  
texture en

fonction du bruit

APPLICATION (CC, No, Date): EP 2000204454 001211;

PRIORITY (CC, No, Date): US 470729 991222

17/ AN,AZ, TI/ 13 (Item 13 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01294893

A method for enhancing the edge contrast of a digital image  
independently

from the texture



Verfahren zur Verbesserung des Rand-Kontrastes eines digitalen Bildes

unabhängig von der Textur

Procede pour rehausser le contraste du bord d'une image numerique

independent de texture

APPLICATION (CC, No, Date): EP 2000204450 001211;

PRIORITY (CC, No, Date): US 470604 991222

17/ AN,AZ,TI/ 14 (Item 14 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01143445

Image forming apparatus

Bilderzeugungsgerat

Dispositif de formation d'image

APPLICATION (CC, No, Date): EP 99121410 991027;

PRIORITY (CC, No, Date): JP 98307668 981028

17/ AN,AZ,TI/ 15 (Item 15 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

01085080

Clock generation circuit for a display device capable of displaying an

image independently of the number of dots in a horizontal period of the

input signal

Takterzeugungsschaltung für eine Anzeigevorrichtung, die ein Bild

unabhängig von der Punktzahl in einer horizontalen Periode eines

Eingangssignals anzeigen kann

Circuit de generation d'horloge pour un systeme d'affichage capable

d'afficher une image independamment du nombre de points par periode

horizontale dans le signal d'entree

APPLICATION (CC, No, Date): EP 99108346 990428;

PRIORITY (CC, No, Date): JP 98119640 980428; JP 98119641 980428

17/ AN,AZ,TI/ 16 (Item 16 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00957483

Image information input-output unit, image information input-output unit  
control method, and image information processing system  
Bildinformations- Eingabe/ Ausgabeeinheit, Bildinformations-  
Eingabe/ Ausgabe  
einheit Steuerverfahren, und Bildinformations-  
Verarbeitungssystem  
Unite d'entree/ sortie pour informations d'image, procede de  
controle  
d'unite d'entree/ sortie pour informations d'image, et systeme  
de  
traitement d'informations d'image  
APPLICATION (CC, No, Date): EP 98302288 980325;  
PRIORITY (CC, No, Date): JP 9772214 970325; JP 9811407 980123

17/ AN,AZ,TI/ 17 (Item 17 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00558024  
LINKING OF PROGRAM UNITS AT PROGRAM ACTIVATION  
PROGRAMMEINHEITENVERBINDUNG BEI DER  
PROGRAMMAKTIVIERUNG  
LIAISON D'UNITES DE PROGRAMME AU MOMENT DU  
DECLENCHEMENT DU PROGRAMME  
APPLICATION (CC, No, Date): EP 92908037 920304; WO 92US1839  
920304  
PRIORITY (CC, No, Date): US 666023 910307

17/ AN,AZ,TI/ 18 (Item 18 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00310325  
Information retrieval apparatus and interface for information  
retrieval.  
Einrichtung und Schnittstelle zur Wiederauffindung von  
Informationen.  
Dispositif et interface pour la recherche documentaire.  
APPLICATION (CC, No, Date): EP 88302301 880316;  
PRIORITY (CC, No, Date): JP 8760120 870317

17/ AN,AZ,TI/ 19 (Item 19 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00300993  
Amorphous semiconductor and amorphous silicon photovoltaic

device.

Amorpher Halbleiter und photovoltaische Vorrichtung aus amorphem Silizium.

Semi-conducteur amorphe et dispositif photovoltaique en silicium amorphe.

APPLICATION (CC, No, Date): EP 88117644 820714;

PRIORITY (CC, No, Date): JP 81112571 810717; JP 81112572 810717

17/ AN,AZ,TI/ 20 (Item 20 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00257476

Multiprocessor interrupt rerouting mechanism.

Multiprozessor-Unterbrechungsumleitungsmechanismus.

Mecanisme de detournement d'interruptions pour multiprocesseur.

APPLICATION (CC, No, Date): EP 87111121 870731;

PRIORITY (CC, No, Date): US 900649 860826

17/ AN,AZ,TI/ 21 (Item 21 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00257225

Multi-CPU interlock.

Gegenseitige Verriegelung zwischen mehreren zentralen Verarbeitungseinheiten.

Entrelacement entre plusieurs unites centrales de traitement.

APPLICATION (CC, No, Date): EP 87110865 870727;

PRIORITY (CC, No, Date): US 891090 860728

17/ AN,AZ,TI/ 22 (Item 22 from file: 348)

DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00246814

Compact plotter for generation of accurate plotted images of long length.

Kompaktzeichengerat zur Erzeugung von genau gezeichneten Bildern in

langgestreckter Form.

Traceur compact pour generer des images exactement dessinees de facon

allongee.

APPLICATION (CC, No, Date): EP 87302802 870331;

PRIORITY (CC, No, Date): US 852987 860415

17/ AN,AZ, TI/ 23 (Item 23 from file: 348)  
DIALOG(R)File 348:(c) 2008 European Patent Office. All rts. reserv.

00236924

A process for the preparation of an isocyanurate modified polyurethane foam  
and a polyurethane foam prepared by the process.  
Verfahren zur Herstellung von Isocyanurat-modifiziertem Polyurethanschaumstoff,  
und ein Polyurethanschaumstoff damit hergestellt.  
Procede pour la preparation de mousse polyurethane modifiee par des  
groupements isocyanurate et mousse polyurethane preparee par le  
procede.

APPLICATION (CC, No, Date): EP 87100680 870120;  
PRIORITY (CC, No, Date): FI 86302 860122

17/ AN,AZ, TI/ 24 (Item 24 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01537571

GENIUS ADAPTIVE DESIGN  
MODELE D'ADAPTATION AU GENIE  
Application: WO 2006US48704 20061219 (PCT/WO US2006048704)

17/ AN,AZ, TI/ 25 (Item 25 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01364255

SYSTEMS AND METHODS FOR FACILITATING PURCHASES AND TAX RECOVERY  
SYSTEMES ET PROCEDES PERMETTANT DE FACILITER LES ACHATS ET LE RECOUVREMENT  
D'IMPOTS  
Application: WO 2005US38597 20051026 (PCT/WO US2005038597)

17/ AN,AZ, TI/ 26 (Item 26 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01315563

ARCHITECTURE APPARATUS AND METHOD FOR SEAMLESS UNIVERSAL DEVICE  
INTEROPERABILITY PLATFORM

ARCHITECTURE, DISPOSITIF ET PROCEDE POUR PLATE-FORME  
D'INTEROPERABILITE  
HOMOGENE DE DISPOSITIFS UNIVERSELS  
Application: WO 2005US20362 20050608 (PCT/WO US2005020362)

17/ AN,AZ,TI/ 27 (Item 27 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01313061  
METHOD FOR AT LEAST PARTIALLY COMPENSATING FOR ERRORS IN  
INK DOT PLACEMENT  
DUE TO ERRONEOUS ROTATIONAL DISPLACEMENT  
PROCEDE POUR LA COMPENSATION AU MOINS PARTIELLE  
D'ERREURS DANS LE PLACEMENT  
POINTS D'ENCRE DUES A UN DEPLACEMENT ROTATIONNEL  
ERRONE  
Application: WO 2004AU706 20040527 (PCT/WO AU04000706)

17/ AN,AZ,TI/ 28 (Item 28 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01273513  
WI RELESS WALLET  
PORTEFEUILLE SANS FIL  
Application: WO 2005US4049 20050210 (PCT/WO US05004049)

17/ AN,AZ,TI/ 29 (Item 29 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

01153716  
SEMANTIC KNOWLEDGE RETRIEVAL MANAGEMENT AND  
PRESENTATION  
SYSTEME ET PROCEDE POUR UNE EXTRACTION, UNE GESTION,  
UNE CAPTURE, UN  
PARTAGE, UNE DECOUVERTE, UNE DISTRIBUTION ET UNE  
PRESENTATION DE  
CONNAISSANCES SEMANTIQUES  
Application: WO 2004US4674 20040217 (PCT/WO US04004674)

17/ AN,AZ,TI/ 30 (Item 30 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00963611  
EXTENDED WEB ENABLED MULTI-FEATURED BUSINESS TO

BUSINESS COMPUTER SYSTEM  
FOR RENTAL VEHICLE SERVICES  
SYSTEME INFORMATIQUE INTERENTREPRISES A ELEMENTS  
MULTIPLES A ACCES INTERNET  
POUR SERVICES DE LOCATION DE VEHICULES  
Application: WO 2001US51431 20011019 (PCT/WO US0151431)  
Parent Application/Grant:  
Related by Continuation to: US 2000694050 20001020 (CIP)

17/ AN,AZ,TI/ 31 (Item 31 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00924739  
PRE-PAID ELECTRONIC ACCESS SYSTEM AND METHOD  
SYSTEME ET PROCEDE D'ACCES ELECTRONIQUE PREPAYE  
Application: WO 2002US1328 20020117 (PCT/WO US0201328)

17/ AN,AZ,TI/ 32 (Item 32 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00802534  
ANY-TO-ANY COMPONENT COMPUTING SYSTEM  
SYSTEME INFORMATIQUE A COMPOSANTS TOUTE CATEGORIE  
Application: WO 2000US31231 20001113 (PCT/WO US0031231)

17/ AN,AZ,TI/ 33 (Item 33 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00784143  
SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR LOAD  
BALANCING REQUESTS AMONG  
SERVERS  
SYSTEME, PROCEDE ET ARTICLE POUR EQUILIBREUR DE  
CHARGE DANS UN  
ENVIRONNEMENT DE STRUCTURES DE SERVICES  
Application: WO 2000US24236 20000831 (PCT/WO US0024236)

17/ AN,AZ,TI/ 34 (Item 34 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00778300  
MACHINE VISION SENSOR UTILIZING SPREADSHEETS  
CAPTEUR DE VISION ARTIFICIELLE  
Application: WO 2000US21787 20000809 (PCT/WO US0021787)

17/ AN,AZ,TI/ 35 (Item 35 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00769469  
VRML EVENT PROPAGATION WITH COUNTING OF INCOMING ROUTES  
FOR EVERY NODE  
PROPAGATION D'EVENEMENTS DE VRML AVEC COMPTAGE DE VOIES  
D'ARRIVEE POUR TOUS  
LES NOEUDS  
Application: WO 2000EP5884 20000623 (PCT/WO EP0005884)

17/ AN,AZ,TI/ 36 (Item 36 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00749567  
USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM  
INTERFACE UTILISATEUR POUR SYSTEME DE TRANSACTIONS  
INFORMATI SEES  
Application: WO 2000US9369 20000407 (PCT/WO US0009369)

17/ AN,AZ,TI/ 37 (Item 37 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00488451  
INTEGRATED CUSTOMER INTERFACE FOR WEB BASED  
COMMUNICATIONS NETWORK  
MANAGEMENT  
INTERFACE CLIENT INTEGREE POUR LA GESTION DE RESEAUX DE  
COMMUNICATIONS  
BASES SUR LE WEB  
Application: WO 98US20173 19980925 (PCT/WO US9820173)

17/ AN,AZ,TI/ 38 (Item 38 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00484865  
ELECTRONIC MAIL SYSTEM AND ELECTRONIC MAIL PROCESSING  
METHOD  
SYSTEME DE COURRIER ELECTRONIQUE ET PROCEDE DE  
TRAITEMENT DE COURRIER  
ELECTRONIQUE  
Application: WO 98JP4261 19980922 (PCT/WO JP9804261)

17/ AN,AZ,TI/ 39 (Item 39 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00348333

AN INTEGRATED DEVELOPMENT PLATFORM FOR DISTRIBUTED  
PUBLISHING AND

MANAGEMENT OF HYPERMEDIA OVER WIDE AREA NETWORKS  
PLATE-FORME DE DEVELOPPEMENT INTEGREE POUR LA  
PUBLICATION ET LA GESTION

REPARTIES D'HYPERMEDIA SUR DES RESEAUX LONGUE PORTEE  
Application: WO 96US1686 19960321 (PCT/WO US9601686)

17/ AN,AZ,TI/ 40 (Item 40 from file: 349)  
DIALOG(R)File 349:(c) 2008 WIPO/Thomson. All rts. reserv.

00184977

SEPARABLE IMAGE WARPING METHODS AND SYSTEMS USING  
SPATIAL LOOKUP TABLES

PROCEDES DE DEFORMATION D'IMAGES SEPARABLES ET  
SYSTEMES UTILISANT DES

TABLES A CONSULTER SPATIALES  
Application: WO 90US4018 19900718 (PCT/WO US9004018)

~ ~ Bibliographic NPL files

? show files;ds

File 2:INSPEC 1898-2008/Jan W2

(c) 2008 Institution of Electrical Engineers

File 35:Dissertation Abs Online 1861-2007/Oct

(c) 2007 ProQuest Info&Learning

File 65:Inside Conferences 1993-2008/Feb 15

(c) 2008 BLDSC all rts. reserv.

File 99:Wilson Appl. Sci & Tech Abs 1983-2008/Jan

(c) 2008 The HW Wilson Co.

File 474:New York Times Abs 1969-2008/Feb 14

(c) 2008 The New York Times

File 475:Wall Street Journal Abs 1973-2008/Feb 14

(c) 2008 The New York Times

File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13

(c) 2002 The Gale Group

File 256:TechInfoSource 82-2008/Dec

(c) 2008 Info.Sources Inc

File 139:EconLit 1969-2008/Feb

(c) 2008 American Economic Association



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S6	258	S1(10N)(S2(3N)S3)
S7	3858	S4(3N)S5
S8	0	S6(20W)S7
S9	0	S6(20N)S7
S10	1147	S1(S)(S2(5N)S3)
S11	5355	S4(5N)S5
S12	7	S10(20N)S11
S13	587	S1 AND S2 AND S3 AND S4 AND S5
S14	18	S6(S)S13
S15	58	S7(S)S13
S16	1	S14 AND S15
S17	75	S14 OR S15
S18	44	S17 NOT PY> 1999
S19	44	S18 NOT PD= 19990410:20080331
S20	44	RD (unique items)

20/ 6/ 1 (Item 1 from file: 2)  
07634835 INSPEC Abstract Number: B2000-08-2560-002, C2000-08-7410D-046  
Title: Realistic database for semiconductor devices analysis  
Publication Date: 1998  
Copyright 2000, IEE

20/ 6/ 2 (Item 2 from file: 2)  
07582251 INSPEC Abstract Number: B2000-06-6135-166, C2000-06-5260B-232  
Title: Scale space range image aspect graph  
Publication Date: 1999  
Copyright 2000, IEE

20/ 6/ 3 (Item 3 from file: 2)  
07451479 INSPEC Abstract Number: A2000-03-9385-094, B2000-02-7710-042,  
C2000-02-7840-017  
Title: Classification of full polarimetric SAR-data using artificial neural networks and fuzzy algorithms  
Publication Date: 1999  
Copyright 1999, IEE

20/ 6/ 4 (Item 4 from file: 2)  
07396029 INSPEC Abstract Number: B1999-12-6135C-096, C1999-12-5260B-214  
Title: Optimized feature map finite-state vector quantization for image coding  
Publication Date: 1997  
Copyright 1999, IEE

20/ 6/ 5 (Item 5 from file: 2)  
07242681 INSPEC Abstract Number: A1999-12-8770E-002, B1999-06-7510N-043,  
C1999-06-7330-220  
Title: A general method for the recognition of 3D curves: application to the identification of cortical sulci in magnetic resonance images  
Publication Date: 1998  
Copyright 1999, IEE

20/ 6/ 6 (Item 6 from file: 2)  
07224500 INSPEC Abstract Number: B1999-05-6135E-234, C1999-05-1250M-214  
Title: Face authentication with Gabor information on deformable graphs  
Publication Date: April 1999  
Copyright 1999, IEE

20/6/7 (Item 7 from file: 2)  
07177424 INSPEC Abstract Number: B1999-04-6135C-022, C1999-04-1250M-043  
Title: Retinally reconstructed images: digital images having a resolution match with the human eye  
Publication Date: March 1999  
Copyright 1999, IEE

20/6/8 (Item 8 from file: 2)  
07105586 INSPEC Abstract Number: B9901-6135C-080, C9901-5260B-360  
Title: Retinally reconstructed images (RRIs): digital images having a resolution match with the human eye  
Publication Date: 1998  
Copyright 1998, IEE

20/6/9 (Item 9 from file: 2)  
07010607 INSPEC Abstract Number: B9810-6140C-300, C9810-1250-221  
Title: Construction and refinement of panoramic mosaics with global and local alignment  
Publication Date: 1998  
Copyright 1998, IEE

20/6/10 (Item 10 from file: 2)  
06974834 INSPEC Abstract Number: C9809-6130D-001  
Title: Reading order of Chinese newspaper articles using a block-growing method  
Publication Date: June 1998  
Copyright 1998, IEE

20/6/11 (Item 11 from file: 2)  
06707356 INSPEC Abstract Number: B9711-6140C-204, C9711-1250-105  
Title: Context-free multiple-object segmentation using attention operator based on modified generalized symmetry transform  
Publication Date: April 1997  
Copyright 1997, IEE

20/6/12 (Item 12 from file: 2)  
06547140 INSPEC Abstract Number: B9705-6140C-277, C9705-1250-136  
Title: 3-D human face recognition by self-organizing matching  
approach  
Publication Date: Jan.-March 1997  
Copyright 1997, IEE

20/6/13 (Item 13 from file: 2)  
06502759 INSPEC Abstract Number: C9704-1290F-004  
Title: Making control charts more effective by time series analysis:  
three  
illustrative applications  
Publication Date: 1996  
Copyright 1997, IEE

20/6/14 (Item 14 from file: 2)  
06341968 INSPEC Abstract Number: B9609-6140C-823, C9609-1250B-030  
Title: A block growing approach to the finding of reading order of  
Chinese  
newspapers  
Publication Date: 1995  
Copyright 1996, IEE

20/6/15 (Item 15 from file: 2)  
06118830 INSPEC Abstract Number: C9601-6130B-038  
Title: Fast and resolution independent line integral convolution  
Publication Date: 1995  
Copyright 1995, IEE

20/6/16 (Item 16 from file: 2)  
05951270 INSPEC Abstract Number: B9506-6140C-324, C9506-1250-194  
Title: Invariant pattern recognition using higher-order neural  
networks  
Publication Date: 1993  
Copyright 1995, IEE

20/6/17 (Item 17 from file: 2)  
05950959 INSPEC Abstract Number: C9506-1250B-022  
Title: Performance evaluation of nonlinear shape normalization  
methods for  
the recognition of large-set handwritten characters  
Publication Date: 1993  
Copyright 1995, IEE

20/6/18 (Item 18 from file: 2)  
05832702 INSPEC Abstract Number: B9501-7520H-003, C9501-7850-003  
Title: Gesture description and structure of a dictionary for  
intelligent  
communication of sign language images  
Publication Date: March 1994

20/6/19 (Item 19 from file: 2)  
05749063 INSPEC Abstract Number: C9410-1250B-016  
Title: Quantitative evaluation of nonlinear shape normalization  
methods  
for the recognition of large-set handwritten characters  
Publication Date: Sept. 1993

20/6/20 (Item 20 from file: 2)  
05741579 INSPEC Abstract Number: A9419-8770E-006, B9410-  
7510B-017,  
C9410-7330-032  
Title: Anatomic segmentation, feature extraction and  
pseudocoloring for  
biomedical image measurements  
Publication Date: July-Aug. 1994

20/6/21 (Item 21 from file: 2)  
05719673 INSPEC Abstract Number: C9409-1250B-013  
Title: Nonlinear shape normalization methods for the  
recognition of  
large-set handwritten characters  
Publication Date: July 1994

20/6/22 (Item 22 from file: 2)  
05375824 INSPEC Abstract Number: C9305-5260B-029  
Title: Object recognition based on image structure using a neural  
network  
Publication Date: Oct. 1992

20/6/23 (Item 23 from file: 2)  
04709005 INSPEC Abstract Number: B90064169, C90057553  
Title: An icon-based approach to system control development  
Publication Date: June 1990

20/6/24 (Item 24 from file: 2)  
04625444 INSPEC Abstract Number: C90034939  
Title: A graphical environment for OCCAM programming  
Publication Date: 1990

20/6/25 (Item 25 from file: 2)  
04386304 INSPEC Abstract Number: C89039344  
Title: An approach to integrate collections of images and relational databases  
Publication Date: Oct. 1988

20/6/26 (Item 26 from file: 2)  
04280447 INSPEC Abstract Number: C89008184  
Title: Rendering trimmed NURBS with adaptive forward differencing  
Publication Date: Aug. 1988

20/6/27 (Item 27 from file: 2)  
04255728 INSPEC Abstract Number: B88073688  
Title: Open communication responsibilities for the responsibility for the operation of open networks, possibilities in ISDN  
Publication Date: 1988

20/6/28 (Item 28 from file: 2)  
04228193 INSPEC Abstract Number: C88058703  
Title: Graphic Oriented Signal Processing Language-GOSPL  
Publication Date: 1987

20/6/29 (Item 29 from file: 2)  
03528390 INSPEC Abstract Number: C85047993  
Title: A table-top micrometer approach to the management, analysis and display of geographic and image data using a map-oriented, geo-referenced framework  
Publication Date: 1984

20/6/30 (Item 30 from file: 2)  
01950124 INSPEC Abstract Number: A76070608  
Title: Multiple object-beam holograms

Publication Date: March 1974

20/6/31 (Item 31 from file: 2)  
01435022 INSPEC Abstract Number: C72020501  
Title: A trainable syntactic model for syntax specification and recognition of handdrawn two-dimensional patterns

20/6/32 (Item 32 from file: 2)  
01335872 INSPEC Abstract Number: C72001415  
Title: Interactive searching of chemical files and structural diagram generation from wiswesser line notation  
Publication Date: Aug. 1971

20/6/33 (Item 1 from file: 35)  
01711182 ORDER NO: AADAA-19944986  
Efficient indexing, browsing and retrieval of image/ video content  
Year: 1999

20/6/34 (Item 2 from file: 35)  
01498384 ORDER NO: AAD96-27020  
FOOLS IN THE SERVICE OF GOD: A BIBLICAL STUDY AND HISTORICAL INQUIRY (ARCHETYPAL THEORY)  
Year: 1996

20/6/35 (Item 3 from file: 35)  
01460469 ORDER NO: AADAA-19604453  
THE POTENTIAL IMPACT OF GRAPHIC FORMATTING AND DESIGN ON USERS' PERCEPTIONS  
Year: 1995

20/6/36 (Item 4 from file: 35)  
01276404 ORDER NO: AAD93-04881  
HARDWARE MAPPING AND MODULE SELECTION IN THE HYPER SYNTHESIS SYSTEM (CAD, REAL TIME SYSTEM)  
Year: 1992

20/6/37 (Item 5 from file: 35)  
01154433 ORDER NO: NOT AVAILABLE FROM UNIVERSITY MICROFILMS

INT'L.  
SIMULATION OF THE SPACIAL DISTRIBUTION OF PLANT  
COMMUNITIES BASED ON MAPS  
OF SITE FACTORS. INVESTIGATED IN THE MAB TEST SITE DAVOS  
Original Title: SIMULATION DER RAUMLICHEN VERTEILUNG VON  
PFLANZENGESELLSCHAFTEN AUF DER BASIS VON STANDORTSKARTEN.  
DARGESTELLT  
AM BEISPIEL DES MAB-TESTGEBIETS DAVOS

Year: 1990

20/6/38 (Item 6 from file: 35)  
932869 ORDER NO: AAD86-22934  
CLASSIFICATION OF TEXTURED SURFACES BASED ON REFLECTION  
DATA  
(IMAGE-PROCESSING, COMPUTER VISION)  
Year: 1986

20/6/39 (Item 7 from file: 35)  
801721 ORDER NO: AAD83-00678  
OPTIMAL CHOICE OF DIRECTIONS FOR THE RECONSTRUCTION OF AN  
OBJECT FROM A  
FINITE NUMBER OF ITS PLANE INTEGRALS  
Year: 1982

20/6/40 (Item 8 from file: 35)  
781619 ORDER NO: AAD82-14275  
INTERRELATIONSHIPS AMONG SENSORY ATTRIBUTES OF TEA  
Year: 1982

20/6/41 (Item 9 from file: 35)  
755506 ORDER NO: AAD81-19943  
CONTRIBUTIONS TO THE THEORY OF ERROR REDUCTION OF QUASI  
MONTE CARLO METHODS  
Year: 1981

20/6/42 (Item 10 from file: 35)  
754838 ORDER NO: AAD81-18351  
THE DIRICHLET PROBLEM FOR THE BERGMAN LAPLACIAN  
Year: 1981

20/6/43 (Item 11 from file: 35)



698649 ORDER NO: AAD80-26736  
A STUDY OF THE USE OF SYSTEM SIMULATION FOR SYMPHONY  
ORCHESTRA TREND  
ANALYSIS AND FORECASTING  
Year: 1980

20/6/44 (Item 1 from file: 99)  
1155093 H.W. WILSON RECORD NUMBER: BAST94023674  
Nonlinear image transformations implemented with spatial light  
modulators  
19940300

~ ~ Full text NPL files - 1

? show files;ds  
File 20:Dialog Global Reporter 1997-2008/Feb 15  
(c) 2008 Dialog

Set	Items	Description
S1	1583002	GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR TABULATION OR DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR TIME OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR ROW OR ROWS)
S2	1583002	GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR TABULATION OR DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR TIME OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR ROW OR ROWS)
S3	880180	PLACE? ? OR PLACING OR ENTER??? OR INPUT OR INPUTS OR INPU- TT??? OR PUT OR PUTS OR PUTTING OR INSERT??? OR TYPE OR TYPES OR TYPING
S4	169986	ICON OR PICTURE OR GRAPHIC OR EMBLEM OR LOGO OR IMAGE OR I- KON
S5	1056815	AUTOGENERAT??? OR CAUSE OR CAUSES OR CAUSING OR CREAT??? OR FORMULAT??? OR GENERATE OR GENERATES OR GENERATING OR IMPLEM- ENT? OR INITIAT??? OR LAUNCH??? OR MADE OR MAKE? ? OR (SET

OR

SETS OR SETT?)(2W)MOTION  
S6 618557 ORDER OR REQUEST OR REQUISITION OR BUY OR  
PURCHASE OR TRAN-  
SACTION OR TRADE OR TRADING  
S7 170 S2(10N)(S3(3N)S4)  
S8 32486 S5(3N)S6  
S9 0 S7(20W)S8  
S10 0 S7(20N)S8  
S11 5330 S2(S)S3(S)S4(S)S5(S)S6  
S12 7 S7(S)S11  
S13 547 S8(S)S11  
S14 179 S11(S)(S3(5N)S4)  
S15 25382 S5(2N)S6  
S16 430 S11(10N)S15  
S17 589 S14 OR S16  
S18 7 S17 NOT PY> 1999  
S19 4 S18 NOT PD= 19990410:20080331  
S20 4 RD (unique items)

20/ 6/ 1  
04294577  
JUST WHAT IS GOING ON HERE?  
SECTION TITLE: Companies & Markets  
February 05, 1999  
WORD COUNT: 1070

20/ 6/ 2  
02970912  
FEATURE/ America Unplugged? Landmark Customer Survey Points to  
Promising New  
Markets for Distributed Power Generation  
September 30, 1998  
WORD COUNT: 1052

20/ 6/ 3  
02802721  
Cadence Advances Design of Third-Generation Personal  
Multimedia  
Communications Systems  
September 14, 1998  
WORD COUNT: 1032

20/ 6/ 4  
01508640 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Sage's Complete, Universal FPD Controller Solutions Enable Monitor

Manufacturers to Offer Flat Screen Displays at Mass Market Prices

April 29, 1998

WORD COUNT: 656

~ ~ Full text NPL files - 2

? show files;ds

File 9:Business & Industry(R) Jul/1994-2008/Feb 13

(c) 2008 The Gale Group

File 15:ABI/Inform(R) 1971-2008/Feb 14

(c) 2008 ProQuest Info&Learning

File 16:Gale Group PROMT(R) 1990-2008/Feb 13

(c) 2008 The Gale Group

File 148:Gale Group Trade & Industry DB 1976-2008/Jan 30

(c)2008 The Gale Group

File 160:Gale Group PROMT(R) 1972-1989

(c) 1999 The Gale Group

File 275:Gale Group Computer DB(TM) 1983-2008/Feb 11

(c) 2008 The Gale Group

File 476:Financial Times Fulltext 1982-2008/Feb 15

(c) 2008 Financial Times Ltd

Set Items Description

S1 2352409 GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR  
TABULATION OR

DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR

TIME

OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR

ROW OR

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S2 2352409 GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR  
TABULATION OR

DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR

TIME

OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR

ROW OR

ROWS)

S3 1407772 PLACE? ? OR PLACING OR ENTER??? OR INPUT OR INPUTS  
OR INPU-

TT??? OR PUT OR PUTS OR PUTTING OR INSERT??? OR TYPE OR

TYPES

OR TYPING

S4 334934 ICON OR PICTURE OR GRAPHIC OR EMBLEM OR LOGO OR  
IMAGE OR I-

KON

S5 1460957 AUTOGENERAT??? OR CAUSE OR CAUSES OR CAUSING OR  
 CREAT??? OR  
 FORMULAT??? OR GENERATE OR GENERATES OR GENERATING OR  
 IMPLEM-  
 ENT? OR INITIAT??? OR LAUNCH??? OR MADE OR MAKE? ? OR (SET  
 OR  
 SETS OR SETT?)(2W)MOTION  
 S6 966641 ORDER OR REQUEST OR REQUISITION OR BUY OR  
 PURCHASE OR TRAN-  
 SACTION OR TRADE OR TRADING  
 S7 776 S2(10N)(S3(3N)S4)  
 S8 83718 S5(3N)S6  
 S9 0 S7(20W)S8  
 S10 0 S7(20N)S8  
 S11 62 S8(S)(S3(5N)S4)  
 S12 113817 S5(5N)S6  
 S13 90 S12(S)(S3(5N)S4)  
 S14 773 S2(S)S3(S)S4(S)S5(S)S6  
 S15 13 S7(S)S14  
 S16 67 S8(S)S14  
 S17 160 S13 OR S15 OR S16  
 S18 88 S17 NOT PY> 1999  
 S19 81 S18 NOT PD= 19990410:20080331  
 S20 74 RD (unique items)  
 S21 40 S20 NOT S14

21/ 6/ 1 (Item 1 from file: 9)  
 01295623 Supplier Number: 23932142 (USE FORMAT 7 OR 9 FOR  
 FULLTEXT)  
 Macho Men  
 June 16, 1997  
 WORD COUNT: 3382

21/ 6/ 2 (Item 1 from file: 15)  
 01750221 04-01212  
 \*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
 Corporate codes of conduct and product labeling schemes: The  
 limits and  
 possibilities of promoting international labor rights through  
 private  
 initiatives  
 Fall 1998 LENGTH: 48 Pages  
 WORD COUNT: 19184

21/ 6/ 3 (Item 2 from file: 15)  
 01686497 03-37487

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Business planning as pedagogy: Language and control in a  
changing

institutional field

Jun 1998 LENGTH: 36 Pages

WORD COUNT: 16373

21/6/4 (Item 3 from file: 15)

01447807 00-98794

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

A graphical discrete event simulation environment

May 1997 LENGTH: 17 Pages

WORD COUNT: 7168

21/6/5 (Item 4 from file: 15)

01440265 00-91252

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

From the dull to the adrenaline charged

Jun 16, 1997 LENGTH: 2 Pages

WORD COUNT: 2385

21/6/6 (Item 5 from file: 15)

01440264 00-91251

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Macho men

Jun 16, 1997 LENGTH: 6 Pages

WORD COUNT: 3485

21/6/7 (Item 6 from file: 15)

01384121 00-35108

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

The bottom line on customer loyalty--interview: Frederick F.  
Reichheld

Mar 1997 LENGTH: 2 Pages

WORD COUNT: 917

21/6/8 (Item 7 from file: 15)

01359507 00-10494

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Advanced controls prove successful on fluidized-bed boiler

Dec 1996 LENGTH: 4 Pages

WORD COUNT: 1897

21/6/9 (Item 8 from file: 15)

01342484 99-91880

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Tangibility in services advertising: An investigation of verbal  
versus  
visual cues

Fall 1996 LENGTH: 16 Pages

WORD COUNT: 8639

21/6/10 (Item 9 from file: 15)

01025915 96-75308

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Traffic-stopping signs

May 1995 LENGTH: 1 Pages

WORD COUNT: 361

21/6/11 (Item 10 from file: 15)

00858755 95-08147

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Windows high-end forms packages take off

May 2, 1994 LENGTH: 10 Pages

WORD COUNT: 11616

21/6/12 (Item 11 from file: 15)

00678218 93-27439

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Marketing services: Packaging - Packing them in

Feb 25, 1993 LENGTH: 6 Pages

WORD COUNT: 1838

21/6/13 (Item 12 from file: 15)

00662410 93-11631

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Windows databases for end-users

Jan 18, 1993 LENGTH: 12 Pages

WORD COUNT: 18107

21/6/14 (Item 13 from file: 15)

00639571 92-54511

\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*

Adopting Your Operations Manual as a Training Guide

Sep/Oct 1992 LENGTH: 3 Pages

WORD COUNT: 1311

21/6/15 (Item 14 from file: 15)  
00595973 92-11146  
\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
Creativity: Eureka!  
Feb 6, 1992 LENGTH: 5 Pages  
WORD COUNT: 3355

21/6/16 (Item 15 from file: 15)  
00549587 91-23944  
\*\* USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
A Better Way to Check a Company's Financial Health  
May 1991 LENGTH: 5 Pages  
WORD COUNT: 1906

21/6/17 (Item 1 from file: 16)  
03533991 Supplier Number: 44956252 (USE FORMAT 7 FOR FULLTEXT)  
Plaid-GFT Talks Still On, But Deal's Not for Sure  
August 31, 1994  
Word Count: 758

21/6/18 (Item 2 from file: 16)  
03533635 Supplier Number: 44955818 (USE FORMAT 7 FOR FULLTEXT)  
Say Plaid, GFT Talks Continue; Outcome Uncertain  
August 31, 1994  
Word Count: 757

21/6/19 (Item 1 from file: 148)  
10428706 SUPPLIER NUMBER: 21073406 (USE FORMAT 7 OR 9 FOR  
FULL TEXT)  
Business planning as pedagogy: language and control in a changing  
institutional field.(Special Issue: Critical Perspectives on  
Organizational Control)  
June, 1998  
WORD COUNT: 20350 LINE COUNT: 01680

21/6/20 (Item 2 from file: 148)  
10156210 SUPPLIER NUMBER: 19957402 (USE FORMAT 7 OR 9 FOR  
FULL TEXT)  
Do brands benefit consumers?  
August, 1997

WORD COUNT: 14591 LINE COUNT: 01263

21/6/21 (Item 3 from file: 148)  
09420782 SUPPLIER NUMBER: 19229927 (USE FORMAT 7 OR 9 FOR  
FULL TEXT)  
The bottom line on customer loyalty.('The Loyalty Effect' author  
Frederick  
F. Reichheld)(Interview)  
March, 1997  
WORD COUNT: 941 LINE COUNT: 00073

21/6/22 (Item 4 from file: 148)  
09233244 SUPPLIER NUMBER: 19063525 (USE FORMAT 7 OR 9 FOR  
FULL TEXT)  
Advanced controls prove successful on fluidized-bed boiler.  
(Montana-Dakota  
Utilities implement new control system at a 75MW lignite-fired  
powerplant)  
Dec, 1996  
WORD COUNT: 2296 LINE COUNT: 00191

21/6/23 (Item 5 from file: 148)  
08951469 SUPPLIER NUMBER: 18646181 (USE FORMAT 7 OR 9 FOR  
FULL TEXT)  
Work group scanners. (includes product directory)(Buyers Guide)  
August 26, 1996  
WORD COUNT: 1805 LINE COUNT: 00143

21/6/24 (Item 6 from file: 148)  
08229790 SUPPLIER NUMBER: 17539611 (USE FORMAT 7 OR 9 FOR  
FULL TEXT)  
Wildlife utilization: a new international mechanism for the protection  
of  
biological diversity.  
Wntr, 1995  
WORD COUNT: 28391 LINE COUNT: 02466

21/6/25 (Item 7 from file: 148)  
07695916 SUPPLIER NUMBER: 16052225 (USE FORMAT 7 OR 9 FOR  
FULL TEXT)  
HyperWriter for Windows. (Ntergaid's hypertext authoring tool,  
version  
4.01) (one of five evaluations of text processing packages in



"Hypertext

Publishing: Edit Trail") (Software Review) (Evaluation)

Feb 7, 1995

WORD COUNT: 962 LINE COUNT: 00074

21/6/26 (Item 8 from file: 148)

07614734 SUPPLIER NUMBER: 15983001 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Meyer 5-star cookware centers. (Meyer creates overall marketing identity in stores)

Dec 26, 1994

WORD COUNT: 1156 LINE COUNT: 00094

21/6/27 (Item 9 from file: 148)

07510551 SUPPLIER NUMBER: 15780582 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Say Plaid, GFT talks continue; outcome uncertain. (Plaid Clothing Group PLC

continues negotiations to acquire GFT S.p.A.)

August 31, 1994

WORD COUNT: 790 LINE COUNT: 00060

21/6/28 (Item 10 from file: 148)

07508527 SUPPLIER NUMBER: 15782854 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Plaid-GFT talks still on, but deal's not for sure. (Plaid Clothing Group PLC negotiating purchase of GFT S.p.A.)

August 31, 1994

WORD COUNT: 795 LINE COUNT: 00060

21/6/29 (Item 11 from file: 148)

07255030 SUPPLIER NUMBER: 15347570 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Windows high-end forms packages take off. (Software Review) (overview of

three evaluations of forms processing software)(includes related articles

on how products were tested, executive summary) (Evaluation)

May 2, 1994

WORD COUNT: 4910 LINE COUNT: 00392

21/6/30 (Item 12 from file: 148)

06817043 SUPPLIER NUMBER: 16564833 (USE FORMAT 7 OR 9 FOR FULL TEXT)

The effect of double deals on consumer attitudes.

Winter, 1993

WORD COUNT: 4053 LINE COUNT: 00330

21/ 6/ 31 (Item 13 from file: 148)

06753934 SUPPLIER NUMBER: 14547556 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Are German unions rocking the economy? A reappraisal of the supply-side

political business cycle.

Oct, 1993

WORD COUNT: 4906 LINE COUNT: 00389

21/ 6/ 32 (Item 14 from file: 148)

06503519 SUPPLIER NUMBER: 14174093 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Packing them in. (Creative Packaging Exhibition and seminars on Mar 23-25,

1993)(includes related article) (Marketing Services Packaging)

Feb 25, 1993

WORD COUNT: 2016 LINE COUNT: 00156

21/ 6/ 33 (Item 15 from file: 148)

06368856 SUPPLIER NUMBER: 13334952 (USE FORMAT 7 OR 9 FOR FULL TEXT)

FileMaker Pro Version 2.0. (Software Review) (one of six evaluations of

Microsoft Windows databases in 'Windows Databases for End-Users')

(Evaluation)

Jan 18, 1993

WORD COUNT: 2278 LINE COUNT: 00170

21/ 6/ 34 (Item 16 from file: 148)

05797676 SUPPLIER NUMBER: 11902540 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Eureka! (engineering design innovations) (Cover Story)

Feb 6, 1992

WORD COUNT: 3213 LINE COUNT: 00253

21/ 6/ 35 (Item 17 from file: 148)

05470424 SUPPLIER NUMBER: 11347916 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Billionaires. (The Forbes Four Hundred)  
Oct 21, 1991  
WORD COUNT: 42095 LINE COUNT: 03553

21/6/36 (Item 18 from file: 148)  
04552171 SUPPLIER NUMBER: 08918607 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Cards in differing applications serving variety of college needs.  
(Special Report)  
April 9, 1990  
WORD COUNT: 1383 LINE COUNT: 00108

21/6/37 (Item 19 from file: 148)  
04089399 SUPPLIER NUMBER: 07537710 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Pretty pages. (Software Review) (Imsys desktop publishing software)  
(evaluation)  
August, 1989  
WORD COUNT: 2019 LINE COUNT: 00162

21/6/38 (Item 20 from file: 148)  
02977923 SUPPLIER NUMBER: 04538176 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Quick silver. (silver market analysis and forecast) (column)  
Dec 1, 1986  
WORD COUNT: 802 LINE COUNT: 00057

21/6/39 (Item 1 from file: 275)  
01468533 SUPPLIER NUMBER: 10905974 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Stay flexible: Proactive Systems' FLEXIBASE gives you the tools to transform your IMAGE. (for modifying the structure of TurboIMAGE databases) (From the Lab) (Software Review) (evaluation)  
June, 1991  
WORD COUNT: 1545 LINE COUNT: 00119

21/6/40 (Item 2 from file: 275)  
01294541 SUPPLIER NUMBER: 07224610 (USE FORMAT 7 OR 9 FOR FULL TEXT)

A technical study of dynamic data exchange under Presentation Manager.

May, 1989

WORD COUNT: 5224 LINE COUNT: 00428

~ ~ Full text NPL files - 3

? show files;ds

File 621:Gale Group New Prod.Annou.(R) 1985-2008/Jan 30

(c) 2008 The Gale Group

File 624:McGraw-Hill Publications 1985-2008/Feb 15

(c) 2008 McGraw-Hill Co. Inc

File 634:San Jose Mercury Jun 1985-2008/Feb 13

(c) 2008 San Jose Mercury News

File 636:Gale Group Newsletter DB(TM) 1987-2008/Feb 13

(c) 2008 The Gale Group

File 75:TGG Management Contents(R) 86-2008/Jan W3

(c) 2008 The Gale Group

File 249:Mgt. & Mktg. Abs. 1976-2007Apr W5

(c) 2007 Pira International

File 485:Accounting & Tax DB 1971-2008/Feb W2

(c) 2008 ProQuest Info&Learning

Set Items Description

S1 613005 GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR  
TABULATION OR

DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR

TIME

OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR

ROW OR

ROWS)

S2 613005 GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR  
TABULATION OR

DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR

TIME

OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR

ROW OR

ROWS)

S3 417758 PLACE? ? OR PLACING OR ENTER??? OR INPUT OR INPUTS  
OR INPU-

TT??? OR PUT OR PUTS OR PUTTING OR INSERT??? OR TYPE OR

TYPES

OR TYPING

S4 70865 ICON OR PICTURE OR GRAPHIC OR EMBLEM OR LOGO OR  
IMAGE OR I-

KON

S5 416312 AUTOGENERAT??? OR CAUSE OR CAUSES OR CAUSING OR

CREAT??? OR  
 FORMULAT??? OR GENERATE OR GENERATES OR GENERATING OR  
 IMPLEM-  
 ENT? OR INITIAT??? OR LAUNCH??? OR MADE OR MAKE? ? OR (SET  
 OR  
 SETS OR SETT?)(2W)MOTION  
 S6 266114 ORDER OR REQUEST OR REQUISITION OR BUY OR  
 PURCHASE OR TRAN-  
 SACTION OR TRADE OR TRADING  
 S7 115 S2(10N)(S3(3N)S4)  
 S8 18245 S5(3N)S6  
 S9 0 S7(20W)S8  
 S10 0 S7(S)S8  
 S11 9 S8(S)(S3(5N)S4)  
 S12 174 S2(S)S3(S)S4(S)S5(S)S6  
 S13 1 S7(S)S12  
 S14 15 S8(S)S12  
 S15 25 S11 OR S13 OR S14  
 S16 15 S15 NOT PY> 1999  
 S17 13 S16 NOT PD= 19990410:20080331  
 S18 13 RD (unique items)

18/ 6/ 1 (Item 1 from file: 621)  
 01371601 Supplier Number: 46319290 (USE FORMAT 007 FOR FULLTEXT)  
 Pyramid's "Smart Transactions": The Next Step for Next Generation  
 IT  
 Systems Market  
 April 22, 1996  
 Word Count: 734

18/ 6/ 2 (Item 2 from file: 621)  
 01342499 Supplier Number: 46112445 (USE FORMAT 007 FOR FULLTEXT)  
 Boothroyd Dewhurst Introduces New, Easy-to-Use Design for  
 Assembly  
 Software, Version 8.0  
 Feb 1, 1996  
 Word Count: 796

18/ 6/ 3 (Item 1 from file: 636)  
 04108469 Supplier Number: 54009779 (USE FORMAT 7 FOR FULLTEXT)  
 CON CONGRESSDAILY Business Group Opens Door To New Trade Bill  
 Talks.  
 March 4, 1999  
 Word Count: 621

18/6/4 (Item 2 from file: 636)  
04070376 Supplier Number: 53561333 (USE FORMAT 7 FOR FULLTEXT)  
THE WHITE HOUSE: Remarks by the President to the Economic Club  
of Detroit.  
Jan 12, 1999  
Word Count: 7962

18/6/5 (Item 3 from file: 636)  
03868334 Supplier Number: 48440618 (USE FORMAT 7 FOR FULLTEXT)  
Maximising the role of design , the rebirth of Milk Tray  
April 24, 1998  
Word Count: 2095

18/6/6 (Item 4 from file: 636)  
03270774 Supplier Number: 46712960 (USE FORMAT 7 FOR FULLTEXT)  
WANT TO BUILD A WEB SITE? THE TOOLS YOU CHOOSE CAN MAKE IT  
HEAVEN OR HTML  
Sept 16, 1996  
Word Count: 1501

18/6/7 (Item 5 from file: 636)  
01337088 Supplier Number: 41584852 (USE FORMAT 7 FOR FULLTEXT)  
TEST & INSPECTION HIGHLIGHTS: FINDING PROBLEMS IN BLIND  
AND BURIED VIAS  
Oct, 1990  
Word Count: 462

18/6/8 (Item 6 from file: 636)  
01130542 Supplier Number: 40884141 (USE FORMAT 7 FOR FULLTEXT)  
TECHNICAL EVALUATION - DR SOLOMON'S ANTI-VIRUS TOOLKIT  
August, 1989  
Word Count: 2777

18/6/9 (Item 1 from file: 75)  
00215563 SUPPLIER NUMBER: 21073406 (USE FORMAT 7 FOR FULL  
TEXT)  
Business planning as pedagogy: language and control in a changing  
institutional field.(Special Issue: Critical Perspectives on  
Organizational Control)  
June, 1998  
WORD COUNT: 20350 LINE COUNT: 01680

18/6/10 (Item 2 from file: 75)  
00166385 SUPPLIER NUMBER: 13995418 (USE FORMAT 7 FOR FULL  
TEXT)  
Information to help you use this book. (directory of the International  
Association of Business Communicators) (Directory)  
Jan, 1993  
WORD COUNT: 183792 LINE COUNT: 15182

18/6/11 (Item 1 from file: 485)  
\*\* FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 \*\*  
00651867  
The Revlon duties and the sale of companies in Chapter 11 WORD  
COUNT:  
12935 LINE COUNT: 1,176  
Aug 1997

18/6/12 (Item 2 from file: 485)  
\*\* FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 \*\*  
00610547  
Document imaging beyond basic technology: Designing the solution  
WORD COUNT: 2627 LINE COUNT: 239  
Nov/Dec 1996

18/6/13 (Item 3 from file: 485)  
\*\* FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 \*\*  
00315535  
A Better Way to Check a Company's Financial Health WORD COUNT:  
1906  
LINE COUNT: 173  
May 1991

~~ Full text NPL files - 4

? show files;ds  
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(c) 2008 Bond Buyer  
File 13:BAMP 2008/Mar W5  
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File 56:Computer and Information Systems Abstracts 1966-2008/Dec  
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Set	Items	Description
S1	476023	GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR TABULATION OR DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR TIME OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR ROW OR ROWS)
S2	476023	GRAPH OR CHART OR TABLE OR MATRIX OR GRID OR TABULATION OR DIAGRAM OR (VERTICAL OR Y OR PRICE OR HORIZONTAL OR X OR TIME OR DATE)()(AXIS OR AXES OR ARM OR ARMS OR COLUMN? ? OR ROW OR ROWS)
S3	204796	PLACE? ? OR PLACING OR ENTER??? OR INPUT OR INPUTS OR INPU- TT??? OR PUT OR PUTS OR PUTTING OR INSERT??? OR TYPE OR TYPES OR TYPING
S4	63631	ICON OR PICTURE OR GRAPHIC OR EMBLEM OR LOGO OR IMAGE OR I- KON
S5	311858	AUTOGENERAT??? OR CAUSE OR CAUSES OR CAUSING OR CREAT??? OR FORMULAT??? OR GENERATE OR GENERATES OR GENERATING OR IMPLEM- ENT? OR INITIAT??? OR LAUNCH??? OR MADE OR MAKE? ? OR (SET OR SETS OR SETT?)(2W)MOTION
S6	201435	ORDER OR REQUEST OR REQUISITION OR BUY OR PURCHASE OR TRAN- SACTION OR TRADE OR TRADING
S7	119	S2(10N)(S3(3N)S4)
S8	14218	S5(3N)S6
S9	0	S7(20W)S8
S10	10	S8(S)(S3(5N)S4)



S11 638 S2(S)S3(S)S4(S)S5(S)S6  
S12 10 S7(S)S11  
S13 78 S8(S)S11  
S14 95 S10 OR S12 OR S13  
S15 30 S14 NOT PY> 1999  
S16 21 S15 NOT PD= 19990410:20080331  
S17 17 RD (unique items)

17/ 6/ 1 (Item 1 from file: 267)  
04545782

Deals of the Year, It's the taking part that counts  
February 10, 1999

WORD COUNT: 3366

(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

17/ 6/ 2 (Item 2 from file: 267)  
04542875

Someone To Talk To: When the markets are turbulent, clients are  
looking  
for some handholding and a willing ear.  
December 1, 1998

WORD COUNT: 1384

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

17/ 6/ 3 (Item 3 from file: 267)  
04533624

Global Custody, Taking on the broker-dealers  
The grass, they say, is  
always greener. In a rapidly consolidating industry a handful of  
global  
custodians control the  
May 10, 1998

WORD COUNT: 3630

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17/ 6/ 4 (Item 4 from file: 267)  
04532498

The Eyes Have It: Financial advisers should try looking at the world  
through their clients' eyes.  
May 1, 1998

WORD COUNT: 1676

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

17/ 6/ 5 (Item 5 from file: 267)  
04531489  
A WEEK IN THE MARKETS  
March 20, 1998

WORD COUNT: 3488

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17/ 6/ 6 (Item 6 from file: 267)  
00032942  
Revisiting the Merger Syndrome: Crisis Management  
July/August, 1997

WORD COUNT: 4768

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17/ 6/ 7 (Item 7 from file: 267)  
00026605  
Macho Men  
June 16, 1997

WORD COUNT: 3424

(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

17/ 6/ 8 (Item 8 from file: 267)  
00025951  
International Bond Issues, US dollar straights, British Telecom plc  
May 16, 1997

WORD COUNT: 2266

(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

17/ 6/ 9 (Item 9 from file: 267)  
00025122

Is Fed Move Plus Or Minus For MBS Market?  
May 26, 1997

WORD COUNT: 491

(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

17/6/10 (Item 10 from file: 267)  
00014829  
International Bond Issues, French Francs, Kingdom of Spain  
November 1, 1996

WORD COUNT: 1408

(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

17/6/11 (Item 11 from file: 267)  
00000564  
SEVEN TRENDS IN TREASURY MANAGEMENT  
April 10, 1996

WORD COUNT: 1462

(c) PHILLIPS PUBLISHING INTERNATIONAL All Rts. Reserv.

17/6/12 (Item 1 from file: 13)  
00537048 Supplier Number: 23817737 (USE FORMAT 7 OR 9 FOR  
FULLTEXT)  
THE BOTTOM LINE ON CUSTOMER LOYALTY  
March 1997  
WORD COUNT: 876

17/6/13 (Item 1 from file: 56)  
0000608757 IP ACCESSION NO: 200702-90-016848  
Rendering trimmed NURBS with adaptive forward differencing  
PUBLICATION DATE: 1988

17/6/14 (Item 2 from file: 56)  
0000524747 IP ACCESSION NO: 200609-65-097689  
Retinally reconstructed images: digital images having a resolution  
match  
with the human eye  
PUBLICATION DATE: 1999

17/6/15 (Item 3 from file: 56)  
0000483013 IP ACCESSION NO: 200609-34-056200  
Face authentication with Gabor information on deformable graphs  
PUBLICATION DATE: 1999

17/6/16 (Item 4 from file: 56)  
0000251834 IP ACCESSION NO: 0135273  
Nonlinear shape normalization methods for the recognition of large-  
set  
handwritten characters  
PUBLICATION DATE: 1994

17/6/17 (Item 5 from file: 56)  
0000235081 IP ACCESSION NO: 0123879  
Invariant pattern recognition using higher-order neural networks  
PUBLICATION DATE: 1993

<b>FORM PTO-1449</b> (Rev. 2-32)  <b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)	<b>Atty. Docket No.</b> 03-1106-Z	<b>Serial No.</b> 11/417,522
	<b>Applicant:</b> Friesen et al.	
	<b>Filing Date:</b> May 3, 2006	<b>Group:</b> 3693

**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
	1.	4,674,044	6-16-87	Kalmus et al.			
	2.	4,705,135	6-788	Boilen			
	3.	4,799,156	1-17-89	Shavit et al.			
	4.	4,823,265	4-18-89	Nelson			
	5.	4,903,201	2-20-90	Wagner			
	6.	5,038,284	8-6-91	Kramer			
	7.	5,077,665	12-31-91	Silverman et al.			
	8.	5,270,922	12-14-93	Higgins			
	9.	5,297,031	3-22-94	Gutterman et al.			
	10.	5,297,032	3-22-94	Trojan et al.			
	11.	5,347,452	9-19-94	Bay, Jr			
	12.	5,375,055	12-20-94	Togher et al.			
	13.	5,619,631	4-8-97	Schott			
	14.	5,675,746	10-7-97	Marshall			
	15.	5,689,651	11-18-97	Lozman			
	16.	5,774,877	6-30-98	Patterson Jr. et al.			
	17.	5,793,301	8-11-98	Patterson Jr. et al.			
	18.	5,797,002	8-18-98	Patterson Jr. et al.			

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation 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.

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
	19.	5,844,572	12-1-98	Schott			
	20.	5,845,266	12-1-98	Lupien et al.			
	21.	5,915,245	6-22-99	Patterson Jr. et al..			
	22.	5,924,082	7-13-99	Silverman et al.			
	23.	5,924,083	7-13-99	Silverman et al.			
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	45.	2001/0034696	10-25-01	McIntyre			

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation 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.

McDONNELL BOEHNEN HULBERT & BERGHOFF LLP 300 SOUTH WACKER DRIVE CHICAGO, ILLINOIS 60606 TELEPHONE (312) 913-0001	MBHB: S/N: FILING DATE:
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**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate	
						Yes	No
	46.	2002/0023038	2-21-02	Fritsch et al.			
	47.	2003/0009411	1-9-03	Ram et al.			
	48.	2004/0099933	5-27-04	Kimura			
	49.	2001/0039527	11-18-01	Ordish			
	50.	2002/0130868	9-19-02	Smith			
	51.	2002/0178096	11-28-02	Marshall			
	52.	2005/0256799	11-17-05	Warsaw et al			
	53.	2005/0125328	6-9-05	Schluetter			
	54.	2006/0010066	1-26-06	Rosenthal et al			
	55.	2006/0020538	1-26-06	Ram			
	56.	2006/0059083	3-16-06	Friesen			
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	58.	2006/0265319	11-23-06	Friesen			
	59.	2006/0259410	11-16-06	Friesen			
	60.	2006/0265315	11-23-06	Friesen			
	61.	2006/0259413	11-16-06	Friesen			

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
62.	EP 0 388 162	3-19-90	Europe				
63.	WO 92/12488	7-23-92	PCT				
64.	WO 95/26005	9-28-95	PCT				
65.	WO 00/52619	9-8-00	PCT				
66.	WO 01/75733	11-10-01	PCT				
67.	JP 2004287819	10-14-04	Japan				

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
-----------------	------------------------

EXAMINER: Initial if citation 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.

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

68.	Yahoo! Finance, pg. 1, 1995
69.	APT Brochure, LIFFE Exchange, circa 1990*
70.	Trading Screen, INTEX of Bermuda, circa 1984*
71.	Weber, Information Technology in the Major International Financial Markets, Apr. 7, 1993
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76.	Wright, William, Research Report Information Animation Applications in the Capital Markets, IEEE 1995
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79.	One Click Trading Options, Trading Technologies, circa 1998
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82.	Hansell, The Computer that ate Chicago, Institutional Investor, Feb. 1989
83.	Globex Report: An Update on the CME Global electronic exchange, Feb. 10, 1989
84.	NYMEX Access Documents, New York Mercantile Exchange, Feb. 28, 1992
85.	CATS Trader's Manual, Toronto Stock Exchange, Sept. 30, 1977
86.	Market Watch, Trading Screen, date not available
87.	Grummer, Peake, Sellers, Preliminary Feasibility Study, Bermudex Ltd., Nov. 1980
88.	Peake, Mendellson, The ABC's of trading on a market system, Appendix C of the Preliminary Feasibility Study, Bermudex Ltd., Sept. 1977
89.	Peake, The last 15 meters, Appendix E of the Preliminary Feasibility Study, Bermudex Ltd., June 15, 1997
90.	Declaration of Brendan Bradley in Case No. 04 C 5312, November 18, 2004
91.	Memorandum Opinion Published Feb. 9, 2005, of Judge James B. Moran in Case No. 04 C 5312
92.	"How the Futures Market Works", Jake Bernstein, 1989 New York Institute of Finance, pp. 62-67
93.	Dictionary of Finance and Investment Terms, John Downes and Jordan Elliot Goodman, 1998. Barrons Education Services, Inc., p. 329
94.	Java Island, copyright 1999 (printed from <a href="http://www.isld.com">http://www.isld.com</a> on June 11, 1999).
95.	International Search Report for PCT/US00/09369

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation 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.

McDONNELL BOEHLEN HULBERT & BERGHOFF LLP 300 SOUTH WACKER DRIVE CHICAGO, ILLINOIS 60606 TELEPHONE (312) 913-0001	MBHB: S/N: FILING DATE:
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

96.	Tokyo Stock Exchange ("TSE"), Publication 1", September 1997
97.	TSE, "Publication 2", August 1998
98.	TSE, "Publication 3", July 31, 2000
99.	TSE, Document 1, January 2000
100.	English Translation of TSE "Publication 1"
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102.	English Translation of TSE "Publication 3"
103.	English Translation of TSE Document 1
104.	REFCO English Translation of TSE "Publication 1"
105.	REFCO English Translation of TSE "Publication 2"
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109.	GL Trade, LIFFE Connect for Futures User Guide V4.51, (alleged) June 1999
110.	GL Trade, LIFFE Connect for Futures User Guide V4.50 Beta, (alleged) January 1999
111.	GL Trade, CAC and STOXX Futures on MAATIF NSC VF, (alleged) Launch: 15/3/99 pp. 1-14

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation 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.

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**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-1106-Z)

In re Application of:	)	
	)	
Richard W. Friesen	)	Examiner: Borlinghaus
	)	
Serial No.: 11/417,522	)	Group Art Unit: 3693
	)	
Filed: 5/3/2006	)	
	)	
For: User Interface for an Electronic	)	
Trading System	)	

**INFORMATION DISCLOSURE STATEMENT LETTER**

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

Dear Sir:

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. The references are listed in the PTO-1449 form enclosed herewith. Copies of the references which were previously submitted in the parent application for the above-identified continuation application are not being re-submitted herewith. *See* 37 C.F.R. § 1.98(d). For the Examiner's convenience, the parent application serial number, to which the above-identified patent application claims priority to under 35 U.S.C. §120, is 09/280,550.

Pursuant to MPEP §609.02(A)(2), it is requested that each of the listed references in the PTO-1449 form enclosed herewith appear on the face of the patent issuing from the present application. *See* MPEP §609.02(A)(2).

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been

McDonnell Boehnen Hulbert & Berghoff LLP  
300 South Wacker Drive  
Chicago, IL 60606  
312-913-0001

reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of the references. This Statement is not a representation that the cited references have effective dates early enough to be “prior art” within the meaning of 35 U.S.C. sections 102 or 103.

Respectfully submitted,

Date: February 18, 2008

By: /Joseph A. Herndon/  
Joseph A. Herndon  
Registration No. 50,469

McDonnell Boehnen Hulbert & Berghoff LLP  
300 South Wacker Drive  
Chicago, IL 60606  
312-913-0001

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417522			
<b>Filing Date:</b>	03-May-2006			
<b>Title of Invention:</b>	User interface for an electronic trading system			
First Named Inventor/Applicant Name:	Richard W. Friesen			
<b>Filer:</b>	Joseph Allen Herndon			
<b>Attorney Docket Number:</b>	03-1106-Z			
Filed as Large Entity				
<b>Utility Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
<b>Extension-of-Time:</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Submission- Information Disclosure Stmt	1806	1	180	180
<b>Total in USD (\$)</b>				<b>180</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2871568
<b>Application Number:</b>	11417522
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8225
<b>Title of Invention:</b>	User interface for an electronic trading system
<b>First Named Inventor/Applicant Name:</b>	Richard W. Friesen
<b>Customer Number:</b>	39310
<b>Filer:</b>	Joseph Allen Herndon
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03-1106-Z
<b>Receipt Date:</b>	18-FEB-2008
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	17:34:11
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 180
RAM confirmation Number	7999
Deposit Account	132490
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

**File Listing:**

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	NPL Documents	Refco_Trans_TSE_Pub3.pdf	196947 7e4f98926d94bf43b6042c6038aa8b2a02119b36	no	6
<b>Warnings:</b>					
<b>Information:</b>					
2	NPL Documents	GL_Trade_Feb_99.pdf	6898870 38be9e76087d1afac3300ea00304cda1c0239038	no	39
<b>Warnings:</b>					
<b>Information:</b>					
3	NPL Documents	GL_Trade_March_99.pdf	6570139 634fbd8d584d0c2628755a4473520c198128207	no	39
<b>Warnings:</b>					
<b>Information:</b>					
4	NPL Documents	GL_Trade_User_Guide_V45 1_June99.pdf	5418602 2ba69f344108d4ea3f46a5379c396f97373dfa9d	no	56
<b>Warnings:</b>					
<b>Information:</b>					
5	NPL Documents	GL_Trade_Jan_99.pdf	2312522 c208bb4efb673037135beedafe70c2259e62bac2	no	24
<b>Warnings:</b>					
<b>Information:</b>					
6	NPL Documents	GL_Trade_CAC.pdf	2330579 e2889a4c6c385e8b7ab954b324177025dfdb075c	no	14
<b>Warnings:</b>					
<b>Information:</b>					
7	Information Disclosure Statement (IDS) Filed	03_1106_Z_IDS.pdf	695519 740cac10b33600615ee08b46c4860e5931677911	no	5

**Warnings:**


**Information:**

This is not an USPTO supplied IDS fillable form

8	NPL Documents	Wright.pdf	1540628	no	9
			f89d6ced8c11245e40bdca7c8a92961e ebb0ace		
<b>Warnings:</b>					
<b>Information:</b>					
9	NPL Documents	TSE_Publication_1.pdf	961902	no	19
			799355bc7d3558afbdfc911d73019435 5eb572f		
<b>Warnings:</b>					
<b>Information:</b>					
10	NPL Documents	TSE_Publication_2.pdf	904788	no	16
			d13af3947280b047c1e6e09080c4a615 81b51b96		
<b>Warnings:</b>					
<b>Information:</b>					
11	NPL Documents	Refco_Trans_TSE_Pub1.pdf	1107068	no	19
			33c81bb4448d6f97930a851d3bda197c c2100bda		
<b>Warnings:</b>					
<b>Information:</b>					
12	NPL Documents	Refco_Trans_TSE_Pub2.pdf	1073043	no	16
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<b>Warnings:</b>					
<b>Information:</b>					
13	NPL Documents	TSE_Publication_3.pdf	714340	no	14
			31b24c6625532a53704944262ad0a9d 6a038a7b1		
<b>Warnings:</b>					
<b>Information:</b>					
14	NPL Documents	TSE_Document_1.pdf	1037583	no	19
			f7dbc8087d74ad8ede9a9a7871b45820 5c1b4d3c		
<b>Warnings:</b>					
<b>Information:</b>					
15	NPL Documents	Trans_of_TSE_Pub1.pdf	812536	no	19
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<b>Warnings:</b>					
<b>Information:</b>					
16	NPL Documents	Trans_of_TSE_Pub2.pdf	629415	no	16
			d4ed08c8a096cd1c5805d6423b376f98 dc5b0cbd		
<b>Warnings:</b>					
<b>Information:</b>					



17	NPL Documents	Trans_of_TSE_Pub3.pdf	645277 2f350520b56c465c9eaa471f5b8c7d8 9d77e2fe	no	15
<b>Warnings:</b>					
<b>Information:</b>					
18	NPL Documents	Trans_TSE_Doc1.pdf	771858 2f096afb9ec5eb5677eb83ff2d89cc0b 7e1e69a	no	19
<b>Warnings:</b>					
<b>Information:</b>					
19	Information Disclosure Statement Letter	03_1106_Z_IDS_LTR.pdf	113227 ac41b010cc5c633abfd604144b2015ce bf3a917	no	2
<b>Warnings:</b>					
<b>Information:</b>					
20	Fee Worksheet (PTO-06)	fee-info.pdf	8159 1f06806d49388e18b6f4f123edd36c2a9 37a7ab5	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			34743002		
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</b></p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>  <b>If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</b></p>					

<b>Application Number</b> 	<b>Application/Control No.</b> 11/417,522	<b>Applicant(s)/Patent under Reexamination</b> FRIESEN ET AL.

<b>Document Code - DISQ</b>	<b>Internal Document – DO NOT MAIL</b>
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<b>TERMINAL DISCLAIMER</b>	<input type="checkbox"/> APPROVED	<input checked="" type="checkbox"/> DISAPPROVED
Date Filed : 20 DEC 2007	<b>This patent is subject to a Terminal Disclaimer</b>	

<b>Approved/Disapproved by:</b>  SHANETTE BROWN FEES NOT PAID
--

U.S. Patent and Trademark Office



UNITED STATES PATENT AND TRADEMARK OFFICE

W

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z	8225
39310 7590 12/27/2007 MBHB/TRADING TECHNOLOGIES 300 SOUTH WACKER DRIVE SUITE 3200 CHICAGO, IL 60606			EXAMINER BORLINGHAUS, JASON M	
			ART UNIT	PAPER NUMBER
			3693	
			MAIL DATE	DELIVERY MODE
			12/27/2007	PAPER

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

The time period for reply, if any, is set in the attached communication.

<b>Interview Summary</b>	<b>Application No.</b> 11/417,522	<b>Applicant(s)</b> FRIESEN ET AL.	
	<b>Examiner</b> Jason M. Borlinghaus	<b>Art Unit</b> 3693	

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

- (1) Jason M. Borlinghaus. (3) Mark Triplett.  
(2) Hani Kazimi. (4) \_\_\_\_\_.

Date of Interview: 12/18/07.

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: Applicant and Examiners discussed the presently claimed invention and some possible claim amendments. Current application is a continuation of 09/289,550 which has since been issued as US Patent 7,212,999. Applicant further discussed filing a terminal disclaimer for the current application.

(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 A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS 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.

  
12.20.07  
JAMES A. KRAMER  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600

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.

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**(Case No. 03-1106-Z)**

In re Application of:	)	
Michael J. Burns	)	Group Art Unit: 3693
	)	
Serial No.: 11/417,522	)	Confirmation No.: 8225
	)	
Filed: May 3, 2006	)	Examiner: Borlinghaus, Jason M
	)	
For: User Interface for an Electronic	)	
Trading System	)	
	)	

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

**AMENDMENT AND RESPONSE TO THE OFFICE ACTION**  
**MAILED SEPTEMBER 20, 2007**

Dear Examiner:

Responsive to the Office Action mailed September 20, 2007, Applicant provides the following remarks:

**Amendments to the claims** begin on page 2 of this response.

**Remarks** begin on page 6 of this response.

## Listing of Claims

1.-58. (Cancelled).

59. (Currently amended) A method for facilitating trading and displaying information regarding the buying and selling of a good, the method comprising:

displaying a chart on a graphical user interface comprising a vertical axis of price values and a horizontal axis of time;

displaying indicators representing historical trading data for the good at locations along the vertical axis of price values and the horizontal axis of time;

providing a plurality of locations on the graphical user interface to place an order icon with a pointer of a user input device, each location corresponding to a particular price value along the vertical axis of price values;

placing an order icon for a particular quantity of the good at a specific location of the plurality of locations along the vertical axis of price values with a pointer of an input device, wherein the specific location on which the order icon is placed corresponds to a particular price value;

generating an order to buy or sell the particular quantity of the good at the particular price value responsive to placing the order icon at the specific location; and

sending ~~[[an]]~~ the order to an electronic trading system, wherein the order is for the particular quantity of the good and at ~~a price~~ the particular price value determined based on the location where the order icon was placed.

60. (Previously presented) The method of claim 59, wherein the historical trading data is of the good, another good, or a combination of goods.

61. (Previously presented) The method of claim 59, further comprising the step of displaying a bar line along the vertical axis of price values, the bar line indicating a high and a low price value for the good over a time period.

62. (Previously presented) The method of claim 59, further comprising the step of displaying a set of indicators representing a traded volume along the horizontal axis of time.
63. (Currently amended) The method of claim 59, wherein the ~~second~~ horizontal axis of time has units according to ~~any~~ an established time period.
64. (Previously presented) The method of claim 59, wherein the historical trading data comprises trade price data for the good over a period of time.
65. (Previously presented) The method of claim 59, wherein the historical trading data comprises average value data for the good over a period of time.
66. (Previously presented) The method of claim 59, further comprising the step of displaying a marker that is representative of a value quantifying metric.
67. (Previously presented) The method of claim 66, wherein the value quantifying metric is a formula.
68. (Previously presented) The method of claim 59, wherein the good comprises a commodity.
69. (Previously presented) The method of claim 59, wherein the good comprises a stock.
70. (Previously presented) The method of claim 59, wherein the step of placing the order icon comprises dragging the order icon with the input device to the location along the vertical axis of price values.
71. (Previously presented) The method of claim 59, wherein the electronic trading system comprises a matching process for matching orders of a bid type or an offer type.



72. (Previously presented) A computer readable medium, for an electronic exchange in which a good is bought and sold responsive to orders submitted by traders, each order specifying a value and quantity for the order, the computer readable medium containing a program containing instructions to cause a processor to perform the following steps:

displaying a chart on a graphical user interface comprising a vertical axis of price values and a horizontal axis of time;

displaying indicators representing historical trading data for the good at locations along the vertical axis of price values and the horizontal axis of time;

providing a plurality of locations on the graphical user interface to place an order icon with a pointer of a user input device, each location corresponding to a particular price value along the vertical axis of price values;

placing an order icon for a particular quantity of the good at a specific location of the plurality of locations along the vertical axis of price values with a pointer of an input device, wherein the specific location on which the order icon is placed corresponds to a particular price value;

generating an order to buy or sell the particular quantity of the good at the particular price value responsive to placing the order icon at the specific location; and

sending ~~[[an]]~~ the order to an electronic trading system, wherein the order is for the particular quantity of the good and at ~~a price~~ the particular price value determined based on the location where the order icon was placed.

73. (Previously presented) The computer readable medium of claim 72, wherein the historical trading data is of the good, another good, or a combination of goods.

74. (Previously presented) The computer readable medium of claim 72, further comprising the step of displaying a bar line along the vertical axis of price values, the bar line indicating a high and a low price value for the good over a time period.

75. (Previously presented) The computer readable medium of claim 72, further comprising the step of displaying a set of indicators representing a traded volume along the horizontal axis of time.

76. (Previously presented) The computer readable medium of claim 72, wherein the horizontal axis of time has units according to any time period.
77. (Previously presented) The computer readable medium of claim 72, wherein the historical trading data comprises trade price data for the good over a period of time.
78. (Previously presented) The computer readable medium of claim 72, wherein the historical trading data comprises average value data for the good over a period of time.
79. (Previously presented) The computer readable medium of claim 72, further comprising the step of displaying a marker that is representative of a value quantifying metric.
80. (Previously presented) The computer readable medium of claim 72, wherein the step of placing the order icon comprises dragging the order icon with an input device to the location along the vertical axis of price values.
81. (New) The method of claim 59 further comprising receiving a command to modify the particular price value to a different price value after the steps of placing the order icon and generating the order;  
    sending the order to an electronic trading system, wherein the order is for the particular quantity of the good and at different price value determined based on the modification of the particular price value.
82. (New) The method of claim 59 further comprising receiving a command to modify the particular quantity to a different quantity after the steps of placing the order icon and generating the order;  
    sending the order to an electronic trading system, wherein the order is for the different quantity of the good and at the particular price value determined based on the modification of the particular price value.

### REMARKS

Claims 59-82 are currently pending. Claims 81-82 are newly added and depend from independent claim 59. Support for the new claims can be found throughout the specification, and therefore no new matter is added.

In the Office Action mailed September 20, 2007, Claim 63 is rejected under 35 U.S.C. § 112, second paragraph, because “the second axis” lacks antecedent basis. Applicant amended claim 63 to recite, “...the horizontal axis...,” which now has proper antecedent basis in claim 59. Claims 59-80 are rejected under 35 U.S.C. § 103(a) as being unpatentable over Silverman (US Patent 5,136,501) in view of Moyer (US Patent 6,211,873). Applicant traverses this rejection on at least the basis that neither reference discloses sending an order “at a price determined based on the location where the order icon was placed.” Applicant also states for the record that contrary to the Office’s initial position, Silverman does not disclose a chart or provide order entry in a manner such as stated on page 3 of the Office Action. Applicant has nonetheless amended independent claims 59 and 72 for purposes of readability and clarity only, and will address the cited references with respect to these features (new and old features). Applicant reserves the right to dispute the Office’s reasoning in the future as it pertains to Silverman or Moyer, if the need so arises in this case.

Additionally, Applicant would like to thank Examiner Borlinghaus for the courtesies extended during the telephone interview with Applicant’s representative, Mark Triplett, on December 18, 2007. During the interview, Mr. Triplett discussed the presently claimed invention, in addition to some claim amendments that would make the claimed invention read even clearer. Those amendments are made in this Response. Mr. Triplett also reminded the Examiner that the present application is a continuation of App. No. 09/289,550, which has issued into U.S. Patent No. 7,212,999. While the two cases claim different subject matter, given some of the subject matter overlap, Mr. Triplett agreed to file a terminal disclaimer in the present case to advance the prosecution of this case.

Such as discussed during the Interview, looking to amended claim 59, neither reference taken together, in addition to any alleged official notices, discloses each and

every feature such as required to find a prima facie case of obviousness. For instance, neither reference taken together, in addition to any alleged official notices, discloses a tradeable chart such as claimed in claim 59 that includes the following features:

displaying a chart on a graphical user interface comprising a vertical axis of price values and a horizontal axis of time;

displaying indicators representing historical trading data for the good at locations along the vertical axis of price values and the horizontal axis of time;

providing a plurality of locations on the graphical user interface to place an order icon with a pointer of a user input device, each location corresponding to a particular price value along the vertical axis of price values;

placing an order icon for a particular quantity of the good at a specific location of the plurality of locations along the vertical axis of price values with a pointer of an input device, wherein the specific location on which the order icon is placed corresponds to a particular price value;

generating an order to buy or sell the particular quantity of the good at the particular price value responsive to placing the order icon at the specific location; and

sending the order to an electronic trading system, wherein the order is for the particular quantity of the good and at the particular price value determined based on the location where the order icon was placed.

Independent claim 72 recites similar features as independent claim 59, and is therefore patentable for at least the reasons that claim 59 is patentable. The dependent claims may be patentable for their own separate reasons, but are patentable for at least the same reasons that their independent base claims are patentable. Accordingly, favorable reconsideration and withdrawal of the rejection of claims 59-80 under 35 U.S.C. § 103 are respectfully requested.

In the event that the Office maintains the rejection of claims 59-80 under 35 U.S.C. § 103, Applicant respectfully requests that the Office, in the interests of compact prosecution, identify on the record and with specificity to support a prima facie case of obviousness, where specifically in the cited references and alleged Official Notices the particular, aforementioned features of the claim are alleged to be taught.

The Examiner is invited to contact Applicant's representative, Mark Triplett at (312) 476-1151, or the undersigned by telephone if it is felt that a telephone interview would advance the prosecution of the present application.

Respectfully submitted,

Date: December 20, 2007

By: /Joseph A. Herndon/  
Joseph A. Herndon  
Reg. No. 50,469

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TERMINAL DISCLAIMER TO OBTAIN A DOUBLE PATENTING REJECTION OVER A "PRIOR" PATENT</b>	Docket Number (Optional) 03-1106-Z
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In re Application of: Richard W. Friesen  
Application No.: 11/417,522  
Filed: May 3, 2006  
For: User Interface for an Electronic Trading System

The owner\*, Trading Technologies, Inc., of 100 percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application which would extend beyond the expiration date of the full statutory term **prior patent** No. 7,212,999 as the term of said prior patent is defined in 35 U.S.C. 154 and 173, and as the term of said **prior patent** is presently shortened by any terminal disclaimer. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the **prior patent** are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of the term of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 and 173 of the **prior patent**, "as the term of said **prior patent** is presently shortened by any terminal disclaimer," in the event that said **prior patent** later:

- expires for failure to pay a maintenance fee;
- is held unenforceable;
- is found invalid by a court of competent jurisdiction;
- is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321;
- has all claims canceled by a reexamination certificate;
- is reissued; or
- is in any manner terminated prior to the expiration of its full statutory term as presently shortened by any terminal disclaimer.

Check either box 1 or 2 below, if appropriate.

1.  For submissions on behalf of a business/organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the business/organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2.  The undersigned is an attorney or agent of record. Reg. No. 50,469

\_\_\_\_\_  
/Joseph A. Herndon/  
Signature

\_\_\_\_\_  
December 20, 2007  
Date

\_\_\_\_\_  
Joseph A. Herndon  
Typed or printed name

\_\_\_\_\_  
312-913-3331  
Telephone Number

- Terminal disclaimer fee under 37 CFR 1.20(d) included.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

\*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).  
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.

This collection of information is required by 37 CFR 1.321. 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 1.11 and 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417522			
<b>Filing Date:</b>	03-May-2006			
<b>Title of Invention:</b>	User interface for an electronic trading system			
First Named Inventor/Applicant Name:	Richard W. Friesen			
<b>Filer:</b>	Joseph Allen Herndon			
<b>Attorney Docket Number:</b>	03-1106-Z			
Filed as Large Entity				
<b>Utility Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
Claims in excess of 20	1202	2	50	100
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
<b>Extension-of-Time:</b>				



Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Processing Fee, except for Provis. apps	1808	1	130	130
<b>Total in USD (\$)</b>				<b>230</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2626129
<b>Application Number:</b>	11417522
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8225
<b>Title of Invention:</b>	User interface for an electronic trading system
<b>First Named Inventor/Applicant Name:</b>	Richard W. Friesen
<b>Customer Number:</b>	39310
<b>Filer:</b>	Joseph Allen Herndon
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03-1106-Z
<b>Receipt Date:</b>	20-DEC-2007
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	18:36:17
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$230
RAM confirmation Number	4179
Deposit Account	132490
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

**File Listing:**

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1		03_1106_Z_Response_9_20_07.pdf	94073 2f9220f330366ebb9a49c1b6b7227f23e13243b9	yes	8
<b>Multipart Description/PDF files in .zip description</b>					
	<b>Document Description</b>		<b>Start</b>		<b>End</b>
	Amendment - After Non-Final Rejection		1		1
	Claims		2		5
	Applicant Arguments/Remarks Made in an Amendment		6		8
<b>Warnings:</b>					
<b>Information:</b>					
2	Terminal Disclaimer Filed	03_1106_Z_Terminal_Disclaimer.pdf	794366 3c15fec95b0196d2e3723142c45324388d56a1a5	no	2
<b>Warnings:</b>					
<b>Information:</b>					
3	Fee Worksheet (PTO-06)	fee-info.pdf	8305 fbb480bef2e76e49c38a7aea978a9d27e4980c06	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			896744		

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875					Application or Docket Number <b>11/417,522</b>	Filing Date <b>05/03/2006</b>	<input type="checkbox"/> To be Mailed	
<b>APPLICATION AS FILED – PART I</b>								
(Column 1)			(Column 2)		SMALL ENTITY <input type="checkbox"/> OR		OTHER THAN SMALL ENTITY	
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR	RATE (\$)	FEE (\$)	
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A		OR	N/A		
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		OR	N/A		
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		OR	N/A		
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		OR	X \$ =		
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		OR	X \$ =		
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).				OR			
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>					OR			
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		OR	TOTAL		
<b>APPLICATION AS AMENDED – PART II</b>								
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY OR OTHER THAN SMALL ENTITY		
AMENDMENT	12/20/2007	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
Total <small>(37 CFR 1.16(i))</small>	*	24	Minus **	58	=	0	OR	X \$50=
Independent <small>(37 CFR 1.16(h))</small>	*	3	Minus ***	12	=	0	OR	X \$210=
<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>							OR	
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>							OR	
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE
							OR	0
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY OR OTHER THAN SMALL ENTITY		
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
Total <small>(37 CFR 1.16(i))</small>	*		Minus **		=		OR	X \$ =
Independent <small>(37 CFR 1.16(h))</small>	*		Minus ***		=		OR	X \$ =
<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>							OR	
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>							OR	
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE
							OR	
* If the entry in column 1 is less than the entry in column 2, write "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.								
						Legal Instrument Examiner: lajuan hickson		

This collection of information is required by 37 CFR 1.16. 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z	8225

39310 7590 09/20/2007  
MBHB/TRADING TECHNOLOGIES  
300 SOUTH WACKER DRIVE  
SUITE 3200  
CHICAGO, IL 60606

EXAMINER

BORLINGHAUS, JASON M

ART UNIT	PAPER NUMBER
3693	

MAIL DATE	DELIVERY MODE
09/20/2007	PAPER

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

The time period for reply, if any, is set in the attached communication.



<b>Office Action Summary</b>	<b>Application No.</b> 11/417,522	<b>Applicant(s)</b> FRIESEN ET AL.	
	<b>Examiner</b> Jason M. Borlinghaus	<b>Art Unit</b> 3693	

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

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 5/3/06 & 10/31/06.
- 2a)  This action is FINAL.                      2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 59 - 80 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 59 - 80 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  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:
    - 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)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5)  Notice of Informal Patent Application
- 6)  Other: \_\_\_\_\_.

### DETAILED ACTION

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 63 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 63 claims wherein the second axis of time has units according to any time period, although no second axis of time had been previously mentioned in the claims.

#### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

**Claims 59 – 80** are rejected under 35 U.S.C. 103(a) as being unpatentable over Silverman (US Patent 5,136,501) in view of Moyer (US Patent 6,211,873) and Official Notice.

**Regarding Claim 59 – 71**, Silverman discloses a method for facilitating trading and displaying information regarding the buying and selling of a good, the method comprising:

- displaying a chart (book market) comprising a vertical axis of price values (best-to-worst relative value) and a horizontal axis of time (time-order-of-offers). (see fig. 13 – 18; col. 16, line 47 – col. 18, line 9);
- placing an order icon (offer) for a particular quantity of the good at a location along the vertical axis of price values with an input device (posting function). (see fig. 13 – 18; col. 16, line 47 – col. 18, line 9);
- sending an order to an electronic trading system (market), wherein the order is for the particular quantity of the good and at a price determined based on the location where the order icon (offer) was placed. (see fig. 13 – 18; col. 16, line 47 – col. 18, line 9);
- wherein the electronic trading system comprises a matching process for matching orders of a bid type or an offer type. (see fig. 13 – 18; col. 16, line 47 – col. 18, line 9);
- further comprising the step of displaying a bar line along the vertical axis of price values, the bar line indicating a high and a low price value for the good

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over a time period (relative offer value indicator). (see fig. 13 – 18; col. 16, line 47 – col. 18, line 9);

- wherein the good comprises a commodity (fungible good). (see col. 1, lines 50 – 63).
- wherein the good comprises a stock. (see col. 1, lines 50 – 63);
- further comprising the step of displaying a marker (offer) that is representative of a value quantifying metric (value). (see fig. 13 – 18; col. 16, line 47 – col. 18, line 9);

Silverman does not explicitly teach a method displaying indicators representing historical trading data at locations along the vertical axis of price values and the horizontal axis of time; nor wherein the historical trading data comprises trade price data for the good over a period of time, although Silverman does chart offers stating a trade price in the time order received and arguably once data is received it becomes historical data.

Silver does not teach a method further comprising the step of displaying a set of indicators representing a traded volume along the horizontal axis of time; wherein the historical trading data comprises average value data for the good over a period of time; wherein the value quantifying metric is a formula; nor wherein the step of placing the order icon comprises dragging the order icon with the input device to the location along the vertical axis of price values.

Regardless, Moyer discloses a method displaying indicators (stock prices) representing historical trading data (full temporal data span, such as for the last ten

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days) at locations along the vertical axis of price values and the horizontal axis of time; wherein the historical trading data is of the good (the stock); wherein the historical trading data comprises trade price data for the good over a period of time (full temporal span); and further comprising the step of displaying a set of indicators (stock prices) representing a trade volume (stock trades) along the horizontal axis of time (see col. 1, line 55 – col. 2, line 33).

Examiner takes **Official Notice** that it is old and well known in the art to display average data when displaying historical trading data, as historical trading data is historically and conventionally the average of all trades conducted within a specified time frame.

Examiner takes **Official Notice** that it is old and well known in the art that the value quantifying metric, such as the value assigned to an offer, may be a formula, such as 10% above market price.

Examiner takes **Official Notice** that it is old and well known to drag an icon with an input device, such as a mouse, to a location on a displayed chart, particularly in relation to standard and conventional graphic user interfaces.

It would have been obvious to one of ordinary skill at the time the invention was made to have modified Silverman by incorporating the graphic user interface, as disclosed by Moyer, allowing for enhanced viewing and analysis of the charted data by the user.

It would have been obvious to one of ordinary skill at the time the invention was made to have modified Silverman and Moyer by incorporating methodologies and

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techniques old and well known in the art, as utilization of such methodologies and techniques are standard and conventional in the art.

**Regarding 72 – 80**, such claims recite similar limitations as claimed in previously rejected claims, would have been obvious based upon previously rejected claims, or are otherwise disclosed by the prior art applied in previously rejected claims. Such claim limitations are therefore rejected using the same art and rationale as previously utilized. Applicant is reminded that any argument contrary to such an interpretation is an indication of patentably distinct subject matter that may warrant a restriction requirement.

#### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jason M. Borlinghaus whose telephone number is (571) 272-6924. The examiner can normally be reached on 8:30am-5:00pm M-F.

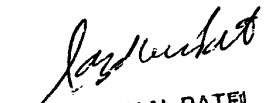
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3693

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). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Jason Borlinghaus (JMB)

September 16, 2007

  
JAGDISH N. PATEL  
PRIMARY EXAMINER

<b>Notice of References Cited</b>	Application/Control No. 11/417,522	Applicant(s)/Patent Under Reexamination FRIESEN ET AL.	
	Examiner Jason M. Borlinghaus	Art Unit 3693	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-6,211,873	04-2001	Moyer, Todd	715/764
*	B US-5,136,501	08-1992	Silverman et al.	705/37
	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**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)					
	U				
	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.





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Bib Data Sheet

CONFIRMATION NO. 8225

<b>SERIAL NUMBER</b> 11/417,522	<b>FILING OR 371(c) DATE</b> 05/03/2006 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 3693	<b>ATTORNEY DOCKET NO.</b> 03-1106-Z
<b>APPLICANTS</b> Richard W. Friesen, Fairfax, CA; Peter C. Hart, San Rafael, CA;				
** CONTINUING DATA ***** <i>YES JMB 9/15/07</i> This application is a CON of 09/289,550 04/09/1999 PAT 7,212,999 ** FOREIGN APPLICATIONS ***** <i>NO JMB 9/15/07</i>				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> ** 05/30/2006				
Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no	35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance	<b>STATE OR COUNTRY</b> CA	<b>SHEETS DRAWING</b> 14	<b>TOTAL CLAIMS</b> 1
Verified and Acknowledged	Examiner's Signature <i>[Signature]</i> Initials <i>JMB</i>		<b>INDEPENDENT CLAIMS</b> 1	
<b>ADDRESS</b> 39310				
<b>TITLE</b> User interface for an electronic trading system				
<b>FILING FEE RECEIVED</b> 1230	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		



## EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	7	("5844572", "5136501", "20070083333", "5339392", "5412769", "6012044", "6211873"). pn.	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
L8	10778	virtual with reality	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
L9	19162	trading	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
L10	261271	user with interface	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
L11	365	l8 and l9 and l10	US-PGPUB; USPAT; USOCR	OR	ON	2007/09/16 16:09
S1	2086153	axis	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S2	205625	time and price	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S3	5275522	time	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S4	265406	price	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:46
S5	1877	S1 same S3 same S4	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:54
S6	48004	historical	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:47
S7	19	S5 same S6	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:59
S8	18414	trading	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:54
S9	58	S8 same S5	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:54

### EAST Search History

S10	4722317	order bid offer	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 15:59
S11	736	S10 same S5	US-PGPUB; USPAT; USOCR	OR	ON	2007/06/20 16:44



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING OR 371(c) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z

**CONFIRMATION NO. 8225**

39310  
MBHB/TRADING TECHNOLOGIES  
300 SOUTH WACKER DRIVE  
SUITE 3200  
CHICAGO, IL60606

**Title:** User interface for an electronic trading system

**Publication No.** US-2006-0259405-A1

**Publication Date:** 11/16/2006

**NOTICE OF PUBLICATION OF APPLICATION**

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

The publication may be accessed through the USPTO's publically available Searchable Databases via the Internet at [www.uspto.gov](http://www.uspto.gov). The direct link to access the publication is currently <http://www.uspto.gov/patft/>.

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Office of Public Records. The Office of Public Records can be reached by telephone at (703) 308-9726 or (800) 972-6382, by facsimile at (703) 305-8759, by mail addressed to the United States Patent and Trademark Office, Office of Public Records, Alexandria, VA 22313-1450 or via the Internet.

In addition, information on the status of the application, including the mailing date of Office actions and the dates of receipt of correspondence filed in the Office, may also be accessed via the Internet through the Patent Electronic Business Center at [www.uspto.gov](http://www.uspto.gov) using the public side of the Patent Application Information and Retrieval (PAIR) system. The direct link to access this status information is currently <http://pair.uspto.gov/>. Prior to publication, such status information is confidential and may only be obtained by applicant using the private side of PAIR.

Further assistance in electronically accessing the publication, or about PAIR, is available by calling the Patent Electronic Business Center at 703-305-3028.

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Pre-Grant Publication Division, 703-605-4283



## AMENDMENT TO THE CLAIMS

Claim 1-58 (Canceled).

Claim 59 (New). A method for facilitating trading and displaying information regarding the buying and selling of a good, the method comprising:

displaying a chart comprising a vertical axis of price values and a horizontal axis of time;

displaying indicators representing historical trading data at locations along the vertical axis of price values and the horizontal axis of time;

placing an order icon for a particular quantity of the good at a location along the vertical axis of price values with an input device; and

sending an order to an electronic trading system, wherein the order is for the particular quantity of the good and at a price determined based on the location where the order icon was placed.

Claim 60 (New). The method of claim 59, wherein the historical trading data is of the good, another good, or a combination of goods.

Claim 61 (New). The method of claim 59, further comprising the step of displaying a bar line along the vertical axis of price values, the bar line indicating a high and a low price value for the good over a time period.

Claim 62 (New). The method of claim 59, further comprising the step of displaying a set of indicators representing a traded volume along the horizontal axis of time.

Claim 63 (New). The method of claim 59, wherein the second axis of time has units according to any time period.

Claim 64 (New). The method of claim 59, wherein the historical trading data comprises trade price data for the good over a period of time.

Claim 65 (New). The method of claim 59, wherein the historical trading data comprises average value data for the good over a period of time.

Claim 66 (New). The method of claim 59, further comprising the step of displaying a marker that is representative of a value quantifying metric.

Claim 67 (New). The method of claim 66, wherein the value quantifying metric is a formula.

Claim 68 (New). The method of claim 59, wherein the good comprises a commodity.

Claim 69 (New). The method of claim 59, wherein the good comprises a stock.

Claim 70 (New). The method of claim 59, wherein the step of placing the order icon comprises dragging the order icon with the input device to the location along the vertical axis of price values.



Claim 71 (New). The method of claim 59, wherein the electronic trading system comprises a matching process for matching orders of a bid type or an offer type.

Claim 72 (New). A computer readable medium, for an electronic exchange in which a good is bought and sold responsive to orders submitted by traders, each order specifying a value and quantity for the order, the computer readable medium containing a program containing instructions to cause a processor to perform the following steps:

displaying a chart comprising a vertical axis of price values and a horizontal axis of time;

displaying indicators representing historical trading data at locations along the vertical axis of price values and the horizontal axis of time;

placing an order icon for a particular quantity of the good at a location along the vertical axis of price values with an input device; and

sending an order to an electronic trading system, wherein the order is for the particular quantity of the good and at a price determined based on the location where the order icon was placed.

Claim 73 (New). The computer readable medium of claim 72, wherein the historical trading data is of the good, another good, or a combination of goods.

Claim 74 (New). The computer readable medium of claim 72, further comprising the step of displaying a bar line along the vertical axis of price values, the bar line indicating a high and a low price value for the good over a time period.

Claim 75 (New). The computer readable medium of claim 72, further comprising the step of displaying a set of indicators representing a traded volume along the horizontal axis of time.

Claim 76 (New). The computer readable medium of claim 72, wherein the horizontal axis of time has units according to any time period.

Claim 77 (New). The computer readable medium of claim 72, wherein the historical trading data comprises trade price data for the good over a period of time.

Claim 78 (New). The computer readable medium of claim 72, wherein the historical trading data comprises average value data for the good over a period of time.

Claim 79 (New). The computer readable medium of claim 72, further comprising the step of displaying a marker that is representative of a value quantifying metric.

Claim 80 (New). The computer readable medium of claim 72, wherein the step of placing the order icon comprises dragging the order icon with an input device to the location along the vertical axis of price values.

**REMARKS**

Applicants request that the Examiner cancel claim 1 without prejudice towards any further or additional prosecution of claims having similar or identical subject matter, and add new claims 59-80 by preliminary amendment. Applicants respectfully submit that the added claims are supported by the specification as originally filed and no new matter has been added. Claims 59-80 are now pending in the present application.

Should any fees be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Commissioner is authorized to deduct or credit said fees from or to McDonnell Boehnen Hulbert & Berghoff LLP Deposit Account No. 13-2490.

The Examiner is invited to call Applicants' representative, Mark Triplett at (312) 476-1151 or the undersigned at (312) 913-3331 with any questions or comments.

Respectfully submitted,

By: \_\_\_\_\_/Joseph Herndon/  
Joseph A. Herndon  
Reg. No. 50,469

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1284582
<b>Application Number:</b>	11417522
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8225
<b>Title of Invention:</b>	User interface for an electronic trading system
<b>First Named Inventor/Applicant Name:</b>	Richard W. Friesen
<b>Customer Number:</b>	39310
<b>Filer:</b>	Joseph Allen Herndon
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03-1106-Z
<b>Receipt Date:</b>	31-OCT-2006
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	15:34:37
<b>Application Type:</b>	Utility

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1		03_1106_Zpreliminaryamendment.pdf	122308	yes	6

<b>Multipart Description/PDF files in .zip description</b>		
<b>Document Description</b>	<b>Start</b>	<b>End</b>
Preliminary Amendment	1	1
Claims	2	5
Applicant Arguments/Remarks Made in an Amendment	6	6
<b>Warnings:</b>		
<b>Information:</b>		
<b>Total Files Size (in bytes):</b>	122308	
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p>		



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875	Application or Docket Number <b>11417522</b>
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APPLICATION AS FILED - PART I			SMALL ENTITY		OTHER THAN SMALL ENTITY	
	(Column 1)	(Column 2)				
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	RATE (\$)	FEE (\$)
BASIC FEE (37 CFR 1.18(a), (b), or (c))						300
SEARCH FEE (37 CFR 1.18(d), (e), or (f))						500
EXAMINATION FEE (37 CFR 1.18(g), (h), or (i))						200
TOTAL CLAIMS (37 CFR 1.18(j))	58	minus 20 = 38	X\$25=		OR	X\$50 = 1900
INDEPENDENT CLAIMS (37 CFR 1.18(k))	12	minus 3 = 9	X\$100=			X\$200= 1800
APPLICATION SIZE FEE (37 CFR 1.18(l))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR					
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.18(i))			N/A		N/A	
			TOTAL		TOTAL	4700

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

APPLICATION AS AMENDED - PART II					SMALL ENTITY		OTHER THAN SMALL ENTITY	
		(Column 1)	(Column 2)	(Column 3)				
AMENDMENT A	8/19/06	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
		Total (37 CFR 1.180)	Minus ** 20	= 1	X =	/	X =	
		Independent (37 CFR 1.180)	Minus *** 3	= 1	X =		X =	
Application Size Fee (37 CFR 1.16(s))					N/A			N/A
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.18(i))					TOTAL ADDT FEE		TOTAL ADDT FEE	

APPLICATION AS AMENDED - PART II					SMALL ENTITY		OTHER THAN SMALL ENTITY	
		(Column 1)	(Column 2)	(Column 3)				
AMENDMENT B	10/31/06	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
		Total (37 CFR 1.180)	Minus ** 20	= 2	X =		X =	
		Independent (37 CFR 1.180)	Minus *** 3	= 0	X =		X =	
Application Size Fee (37 CFR 1.16(s))					N/A		N/A	
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.18(i))					TOTAL ADDT FEE		TOTAL ADDT FEE	

Fees Paid

- \* If the entry in column 1 is less than the entry in column 2, write "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.

This collection of information is required by 37 CFR 1.18. 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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


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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z

**CONFIRMATION NO. 8225**
**FORMALITIES  
 LETTER**

39310  
 MBHB/TRADING TECHNOLOGIES  
 300 SOUTH WACKER DRIVE  
 SUITE 3200  
 CHICAGO, IL 60606

Date Mailed: 06/01/2006

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**
**FILED UNDER 37 CFR 1.53(b)**
*Filing Date Granted*
**Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 300 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of \$**3700** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.16(f) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is \$**4830** for a Large Entity

- \$**300** Statutory basic filing fee.
- \$**130** Surcharge.
- The application search fee has not been paid. Applicant must submit \$**500** to complete the search fee.




- The application examination fee has not been paid. Applicant must submit **\$200** to complete the examination fee for a large entity
  
- Total additional claim fee(s) for this application is **\$3700**
  - **\$1800** for **9** independent claims over 3.
  - **\$1900** for **38** total claims over 20.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

---

*A copy of this notice **MUST** be returned with the reply.*



Office of Initial Patent Examination (571) 272-4000, or 1-800-PTO-9199, or 1-800-972-6382  
PART 2 - COPY TO BE RETURNED WITH RESPONSE

-PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
MBHB Case No. 03-1106-Z

In re Application of: )  
Richard W. Friesen et al. ) Group Art Unit: 3624  
Serial No.: 11/417,522 ) Examiner: not assigned  
Filed: May 3, 2006 )  
For: User Interface for an Electronic Trading )  
System )

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO THE NOTICE TO FILE MISSING PARTS MAILED JUNE 1, 2006 AND  
PRELIMINARY AMENDMENT**

Dear Sir:

Responsive to the Notice to File Missing Parts mailed June 1, 2006, Applicants submit the following amendments and remarks.

**Amendments to the Specification** begin on page 2 of this response.

**Amendments to the claims** begin on page 3 of this response.

**Remarks** begin on page 4 of this response.

**AMENDMENT TO THE SPECIFICATION**

Please add the following paragraph on page 1 at line 3.

**CROSS REFERENCE TO RELATED APPLICATION**

This application is a continuation of U.S. Patent Application Serial No. 09/289,550 filed April 9, 1999, entitled "User Interface for an Electronic Trading System" the contents of which are fully incorporated herein by reference.

## AMENDMENT TO THE CLAIMS

Claim 1 (Original). A method for displaying transaction information regarding the buying and selling of items in a system where orders comprise a bid type or an offer type, and an order is generated for a quantity of items at a specific value, the method comprising:

displaying at least one bid icon, corresponding to a bid for a quantity of items, at a location along a first axis of values corresponding to the value of the bid; and

displaying at least one offer icon, corresponding to an offer type order for a quantity of items, at a location along the first axis of values corresponding to the value of the offer.

Claims 2-58 (Canceled)

**REMARKS**

Applicants submit the present response to the Notice to File Missing Parts mailed June 1, 2006. Within the Missing Parts, Applicants were informed that the (i) statutory basic filing fee, (ii) search fee, (iii) examination fee and (iv) additional claim fees were missing.

As set forth above, Applicants have amended the specification to include the cross-reference to the priority documents. Applicants have also canceled claims 2-58 without prejudice towards any further or additional prosecution of claims having similar or identical subject matter. Thus, Applicants wish to cancel all pending claims, except claim 1.

Applicants include with this response a payment of \$1130.00 for payment of the following fees:

Surcharge for late submission of filing fee	Statutory Basic Filing Fee	Search Fee	Examination Fee	Additional Claim Fees	Total Fees
\$130.00	\$300.00	\$500.00	\$200.00	\$0.00	\$1130.00

The Examiner is invited to call Applicants' representative, Mark Triplett at (312) 476-1151 or the undersigned at (312) 913-3331 with any questions or comments.

Respectfully submitted,

By: \_\_\_\_\_ /s Joseph Herndon  
Joseph A. Herndon  
Reg. No. 50,469

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417522			
<b>Filing Date:</b>	03-May-2006			
<b>Title of Invention:</b>	User interface for an electronic trading system			
<b>First Named Inventor:</b>	Richard W. Friesen			
<b>Filer:</b>	Joseph Allen Herndon			
<b>Attorney Docket Number:</b>	03-1106-Z			
Filed as Large Entity				
<b>Utility Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
Utility application filing	1011	1	300	300
Utility Search Fee	1111	1	500	500
Utility Examination Fee	1311	1	200	200
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
Late filing fee or oath or declaration	1051	1	130	130
<b>Petition:</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
<b>Extension-of-Time:</b>				
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>1130</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1126064
<b>Application Number:</b>	11417522
<b>Confirmation Number:</b>	8225
<b>Title of Invention:</b>	User interface for an electronic trading system
<b>First Named Inventor:</b>	Richard W. Friesen
<b>Customer Number:</b>	39310
<b>Filer:</b>	Joseph Allen Herndon
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03-1106-Z
<b>Receipt Date:</b>	25-JUL-2006
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	17:06:49
<b>Application Type:</b>	Utility
<b>International Application Number:</b>	

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 1130
RAM confirmation Number	266
Deposit Account	132490

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:



Document Number	Document Description	File Name	File Size(Bytes)	Multi Part	Pages
1	Applicant Response to Pre-Exam Formalities Notice	03_1106_Zmissingpartsnotice.pdf	89088	no	2
<b>Warnings:</b>					
<b>Information:</b>					
2		03_1106_Zpreliminaryamendment.pdf	110451	yes	4
	<b>Multipart Description</b>				
	<b>Doc Desc</b>		<b>Start</b>	<b>End</b>	
	Applicant Response to Pre-Exam Formalities Notice		1	1	
	Specification		2	2	
	Claims		3	3	
	Applicant Arguments/Remarks Made in an Amendment		4	4	
<b>Warnings:</b>					
<b>Information:</b>					
3	Fee Worksheet (PTO-875)	fee-info.pdf	8471	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			208010		
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</b></p>					

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1126064
<b>Application Number:</b>	11417522
<b>Confirmation Number:</b>	8225
<b>Title of Invention:</b>	User interface for an electronic trading system
<b>First Named Inventor:</b>	Richard W. Friesen
<b>Customer Number:</b>	39310
<b>Filer:</b>	Joseph Allen Herndon
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03-1106-Z
<b>Receipt Date:</b>	25-JUL-2006
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	17:06:49
<b>Application Type:</b>	Utility
<b>International Application Number:</b>	

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 1130
RAM confirmation Number	266
Deposit Account	132490

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Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part	Pages
1	Applicant Response to Pre-Exam Formalities Notice	03_1106_Zmissingpartsnotice.pdf	89088	no	2
<b>Warnings:</b>					
<b>Information:</b>					
2		03_1106_Zpreliminaryamendment.pdf	110451	yes	4
	<b>Multipart Description</b>				
	<b>Doc Desc</b>		<b>Start</b>	<b>End</b>	
	Applicant Response to Pre-Exam Formalities Notice		1	1	
	Specification		2	2	
	Claims		3	3	
	Applicant Arguments/Remarks Made in an Amendment		4	4	
<b>Warnings:</b>					
<b>Information:</b>					
3	Fee Worksheet (PTO-875)	fee-info.pdf	8471	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			208010		
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</b></p>					

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<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875	Application or Docket Number <b>11417522</b>
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APPLICATION AS FILED – PART I			SMALL ENTITY		OTHER THAN SMALL ENTITY	
(Column 1)		(Column 2)	RATE (\$)	FEE (\$)	RATE (\$)	FEE (\$)
FOR	NUMBER FILED	NUMBER EXTRA				
BASIC FEE (37 CFR 1.16(a), (b), or (c))						300
SEARCH FEE (37 CFR 1.16(k), (l), or (m))						500
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))						200
TOTAL CLAIMS (37 CFR 1.16(i))		58 minus 20 =	X\$25=		X\$50	1900
INDEPENDENT CLAIMS (37 CFR 1.16(h))		12 minus 3 =	X\$100=		X\$200=	1800
APPLICATION SIZE FEE (37 CFR 1.16(s))						
If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR						
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))			N/A		N/A	
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		TOTAL	4700

APPLICATION AS AMENDED – PART II					SMALL ENTITY		OTHER THAN SMALL ENTITY	
(Column 1)		(Column 2)	(Column 3)		RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA				
	Total (37 CFR 1.16(i))	1	Minus ** 20	=	X =		X =	
	Independent (37 CFR 1.16(h))	1	Minus *** 3	=	X =		X =	
	Application Size Fee (37 CFR 1.16(s))							
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))				N/A		N/A	
TOTAL ADD'T FEE							TOTAL ADD'T FEE	
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA				
	Total (37 CFR 1.16(i))		Minus **	=	X =		X =	
	Independent (37 CFR 1.16(h))		Minus ***	=	X =		X =	
	Application Size Fee (37 CFR 1.16(s))							
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))				N/A		N/A	
TOTAL ADD'T FEE							TOTAL ADD'T FEE	

\* If the entry in column 1 is less than the entry in column 2, write "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.

This collection of information is required by 37 CFR 1.16. 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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



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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
11/417,522	05/03/2006	Richard W. Friesen	03-1106-Z

39310  
 MBHB/TRADING TECHNOLOGIES  
 300 SOUTH WACKER DRIVE  
 SUITE 3200  
 CHICAGO, IL 60606

**CONFIRMATION NO. 8225**  
**FORMALITIES**  
**LETTER**

Date Mailed: 06/01/2006

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

### Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 300 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of **\$3700** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.16(f) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

### SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$4830** for a Large Entity

- **\$300** Statutory basic filing fee.
- **\$130** Surcharge.
- The application search fee has not been paid. Applicant must submit **\$500** to complete the search fee.

- The application examination fee has not been paid. Applicant must submit **\$200** to complete the examination fee for a large entity
  
- Total additional claim fee(s) for this application is **\$3700**
  - **\$1800** for **9** independent claims over 3.
  - **\$1900** for **38** total claims over 20.

Replies should be mailed to:   Mail Stop Missing Parts  
  Commissioner for Patents  
  P.O. Box 1450  
  Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*



Office of Initial Patent Examination (571) 272-4000, or 1-800-PTO-9199, or 1-800-972-6382  
PART 3 - OFFICE COPY

16138 U.S. PTO  
050306

**UTILITY PATENT APPLICATION TRANSMITTAL**

*Submit an original and a duplicate for fee processing  
(Only for new nonprovisional applications under 37 CFR 1.53(b))*

<p>ADDRESS TO:</p> <p><b>Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450</b></p>	<p>Attorney Docket No. 03-1106-Z</p> <p>First Named Inventor Friesen</p> <p>Express Mail No. EV839378563US</p>
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113261 U.S. PTO  
11/417522  
050306

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
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<p>1. <input checked="" type="checkbox"/> Transmittal Form</p> <p>2. <input checked="" type="checkbox"/> Specification (including claims and abstract) [Total Pages 46]</p> <p>3. <input checked="" type="checkbox"/> Drawings [Total Sheets 14]</p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages 3]</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> Newly executed</p> <p style="margin-left: 20px;">b. <input checked="" type="checkbox"/> Copy from prior application (for continuation/divisional with Box 18 completed)</p> <p style="margin-left: 40px;">i. <input type="checkbox"/> <u>Deletion of Inventor(s)</u> Signed statement attached deleting inventor(s) named in the prior application</p> <p>5. <input checked="" type="checkbox"/> Application Data Sheet (See 37 CFR 1.76)</p> <p>6. <input type="checkbox"/> Computer Code Listing (See 1.96)</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> Microfiche Appendix</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> CD-ROM or CD-R (in duplicate, with separate transmittal)</p> <p>7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> Computer Readable Copy</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> Paper Copy</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> Statement verifying above copies</p> <p>8. <input type="checkbox"/> Applicant Claims Small Entity Status See 37 CFR 1.27.</p>	<p>9. <input type="checkbox"/> Assignment Papers</p> <p>10. <input type="checkbox"/> Power of Attorney</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)</p> <p style="margin-left: 20px;"><input checked="" type="checkbox"/> PTO-1449 Form</p> <p style="margin-left: 20px;"><input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s)</p> <p>16. <input type="checkbox"/> A Request for non-publication pursuant to 35 U.S.C. § 122(b)(2)(B)(i)</p> <p>17. <input checked="" type="checkbox"/> Other: Power of Attorney by Assignee of Entire Interest/Revocation of Prior Powers</p>
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18.  This is a CONTINUING APPLICATION. Please note the following:

a.  This is a  Continuation  Divisional  Continuation-in-part of prior U.S. Patent Application Serial No. 09/289,550 filed April 9, 1999.

b.  Amend the specification by inserting before the first line the sentence:  
This is a  continuation  divisional  continuation-in-part of application Serial No 09/289,550 filed April 9, 1999

c.  The prior application is assigned of record to Trading Technologies International, Inc.

For CONTINUATION or DIVISIONAL Apps only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application papers.

APPLICATION FEES			
BASIC UTILITY FILING FEE			\$ 300.00
SEARCH FEE			\$ 500.00
EXAMINATION FEE			\$ 200.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total Claims	58 -20 =	0	x \$50.00 \$
Independent Claims	12- 3 =	0	x \$200.00 \$
<input type="checkbox"/> Multiple Dependent Claims(s) if applicable			+ \$360.00 \$
APPLICATION SIZE*	EXTRA SHEETS	NO. OF EACH ADD'L 50	RATE
Total Sheets	- 100 =	/50 = (round up to whole number)	x \$250.00 \$
Total of above calculations =			\$
Reduction by 50% for filing by small entity =			\$(
<input type="checkbox"/> Assignment fee if applicable			+ \$40.00 \$
<input type="checkbox"/> Non-English Specification (no small entity discount)			+ \$130.00 \$
TOTAL =			\$

19.  Please charge my Deposit Account No. 13-2490 in the amount of \$
20.  A check in the amount of \$\_\_\_\_\_ is enclosed.
21. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 13-2490:
- a.  Fees required under 37 CFR 1.16.
  - b.  Fees required under 37 CFR 1.17.
  - c.  Fees required under 37 CFR 1.18.
22. The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 13-2490 for any fee that may be due in connection with such a request for an extension of time.

23. CERTIFICATE OF MAILING

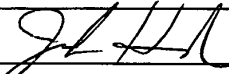
I hereby certify that, under 37 CFR § 1.10, I directed that the correspondence identified above be deposited with the United States Postal Service as "Express Mail Post Office to Addressee," addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on the date indicated below.

24. USPTO CUSTOMER NUMBER

39310

Trading Technologies International, Inc.

25. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name	Joseph A. Herndon
Reg. No.	50,469
Signature	
Date	May 3, 2006

\* If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250.00 (\$125.00 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).



# BEST AVAILABLE COPY

## USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

### Inventors

5 Richard W. Friesen  
Peter C. Hart

### Technical Field

The present invention relates generally to the field of graphical user interfaces and  
10 more particularly to the field of graphical user interfaces for electronic trading systems.

### Background of the Invention

Trading pits are the lifeblood of a market economy. Quantities of goods and  
shares in companies are bought and sold by millions of investors through trading pits on  
exchanges everyday. When a particular trading product or item is more valued, the value  
15 of the item is driven up as a result of more aggressive bidding by the buyers. When an  
item is less valued, the value of the item is driven down as a result of more aggressive  
offers to sell the item. The successful trader anticipates the rise or fall of the value of an  
item and performs his or her own transaction before the rest of the market is aware of the  
item's potential gain or loss in value. Thus, anticipation of the market and specifically of  
20 the future demand for an item of interest is critical to the success of a trader.

The transactions for each item occur in a trading pit for that item. The trading pit  
is a designated area in an exchange in which the customers submit their orders, either bids  
or offers, for the item to a broker in the pit. The exchange records all transactions and  
relays or posts to the individual traders the outstanding bid having the highest value and  
25 the outstanding offer having the lowest value for the item, along with the quantity

specified in the order. The exchange does not release information on all outstanding offers and bids to the traders because, in part, this information is what gives the market makers an advantage over the traders and enables the market makers to change their own trading directions quickly, step in front of customer orders, and use customer limit orders  
5 to protect the market makers from losses. However, for an individual trader, having only the latest order information for an item complicates the trader's task of ascertaining trends in the orders for an item because the trader has very little information about the volume of offers and bids or the rate at which these volumes are changing.

Other information is also used by the trader to anticipate the market, including  
10 current exchange performances, historical transaction data for the item, the number of traders at the pit, and the trader's sense of the activity of the pit. However, it is often difficult for a trader to quickly assemble this information from diverse and often unrelated sources or even effectively process all of this information in order to make an informed transaction decision. From this information, and other external information, the  
15 trader must attempt to determine trends in the buying or selling for the item in order to anticipate the market and the demand for a particular item.

Thus, a system is needed in which trend information of market demand for an individual item is provided to traders in an intuitive format which allows traders to quickly interpret how market demand is changing to an item. A system is also needed  
20 which provides contextual information about the item or the market to the trader while the trader is trading on a specific item in a manner which allows the trader to quickly interpret the information and then act accordingly.

### Summary of Invention

The present invention is a user interface for an electronic trading system that allows a remote trader to view trends in the orders for an item, and provides the trading information in an easy to see and interpret graphical format. The user interface of the present invention operates in a system in which individual traders place orders including bids and offers, on remote client terminals, and this information is routed to a transaction server. The transaction server receives order information from the remote terminals, matches a bid for an item to an offer for an item responsive to the bid corresponding with the offer, and communicates outstanding bid and offer information back to the client terminals. Thus, in accordance with the present invention, each client terminal displays all of the outstanding bids and offers for an item, in contrast to the conventional systems and methods in which only the highest bid and lowest offer were known to the individual trader. This allows the trader to view trends in orders for an item, and thus better enables the trader to anticipate demand for the item.

For example, in one embodiment, a graph is formed with a value axis. Bid icons and offer icons for all outstanding bids and offers are displayed on the graph at locations corresponding to the values of the bids and offers. When an item is being "bid up," i.e., the demand for the item is growing, all of the new bids are displayed to the remote trader. The trader immediately sees the increasing demand for the item as it occurs, and thus may infer that the item may rise in value, and can enter an order to buy for the item immediately while the value for the item still appears low. In contrast, in conventional systems, the trader only knew of the existence of the highest bid, and therefore would not know that demand for the item was increasing. However, by "opening the book," all of

the outstanding orders are displayed to all of the remote traders and each trader is able to immediately see the growing demand and maximize his or her position in the market accordingly.

The user interface of the present invention presents this information in an intuitive  
5 format, allowing the trader to make informed decisions quickly. In a priority view  
embodiment, bid and offer icons are displayed corresponding to an axis of values. This  
results in the bid icons being displayed on the lower portion of the screen and the offer  
icons being displayed on the upper portion of the screen. The trader is able to discern  
immediately the number and volume of bids and offers outstanding for the item and their  
10 difference in value. The bids and offers are preferably displayed in different colors,  
shapes, or other visual characteristics, further enhancing the trader's ability to quickly  
ascertain the current state of the market. The screen is updated frequently to display the  
most recent bids and offers. In one embodiment, the icons are formed having an edge  
which is angled toward the axis of values. When all outstanding offers and bids are  
15 displayed, the arrangement of icons naturally forms the edges of a triangle that points to  
the value differential at the axis of values. In yet another embodiment, the trader's own  
bids and offers are displayed in a first color or other visual characteristic, and the bids and  
offers of other traders are displayed in a second color or visual characteristic. This allows  
the trader to quickly determine his or her relative position in the marketplace. Finally, in  
20 a preferred embodiment, a size of the icons represents the quantity of the bid or offer,  
allowing an easy visual means of determining the relative quantities each bid and offer  
represent.

In a value/quantity view embodiment, an axis of values and an axis of quantities are used to determine the location of the bid and offer icons. The icons in this embodiment are markers or tokens and provide a different look and feel to the trader. Providing alternate views allow a trader to select a view with which the trader is most comfortable trading.

A value quantifying analytic is displayed in a further embodiment with respect to the value axis at a location corresponding to the current value which the analytic represents. The analytic is preferably displayed as a marker called an action line, in a color or other visual characteristic different from the other characteristics used to represent other objects being displayed. The action line is selected by each individual trader and can reflect value-to-earning ratio, volatility, volume of sales, or any other metric the trader designs, or can be selected from a listed of predetermined metrics. The action line responds to changes in the data it measures, updating in essentially real time. The action line allows the trader to immediately determine the current valuation of the item relative to the trader's own valuation of the item. As the offers or bids approach the action line, the trader is prepared to complete a transaction in accordance with the trader's own valuation.

In another aspect of the invention, market data and other contextual data is displayed while the trader is viewing one of the aforementioned user interfaces. A historical chart is displayed in the background of a user interface to provide additional information to the trader who is determining the state of the market and how it may affect the value of the item. For example, the historical chart may represent the various market indices, historical values of the item or others, and any other historical value, quantity, or

volume trend. The historical chart can represent the average value of the item over a period of time, or may represent a value or values for any other item or group of items. The historical chart is displayed with respect to a vertical axis of values, and is displayed horizontally responsive to time. The historical chart is updated to provide the latest  
5 information to the trader while the trader is trading. Thus, in accordance with the present invention, the trader is able to make instantaneous decisions regarding an item while receiving critical information about other items or the past performance of the current item and other indices. This is a major advantage over conventional methods of trading in which this information is not provided concurrently, and if presented at all, is difficult  
10 to process quickly.

An alternate embodiment provides a trading pit view that displays trader icons for each trader and positions the trader icons reflective of the activity level of the trader. Floor brokers and other bystanders are also displayed and identified to allow the trader to understand at a glance the respective positions and activity of all users currently  
15 connected to the transaction server for that trading pit. Selecting a trader icon provides information regarding the trader and can open up a window to allow the traders to communicate with each other using one or more methods including electronic mail, text chat or communication by voice over a network connection. The trading pit view allows the remote trader to immediately ascertain whom the trader is trading against, how active  
20 they are, and allows the trader to better anticipate the market.

### **Brief Description of the Drawings**

Figure 1 is a block diagram of a preferred embodiment of the electronic trading system of the present invention.

Figure 2 is a block diagram of a preferred embodiment of the transaction manager  
5 of the present invention.

Figures 3a - 3c are screen shots illustrating an embodiment of a Priority View in accordance with the present invention.

Figure 3d illustrates a buy order pop-up window.

Figure 3e illustrates a sell order pop-up window.

10 Figure 4 is a screen shot illustrating an embodiment of a Value/Quantity View in accordance with the present invention.

Figure 5 is a flow chart illustrating a preferred embodiment of a method of displaying bid and offer icons in accordance with the present invention.

15 Figure 6 is a flow chart illustrating a preferred embodiment of a method of generating a bid order icon in accordance with the present invention.

Figure 7 is a flow chart illustrating a preferred embodiment of a method of generating a offer order icon in accordance with the present invention.

Figure 8 is a flow chart illustrating an alternate embodiment of generating an order icon.

20 Figure 9 is a screen shot illustrating a Pit Panel view in accordance with the present invention.

Figure 10 is a flow chart illustrating a preferred embodiment of generating and placing a trader icon in accordance with the present invention.

Figure 11 is a screen shot illustrating a communication window in accordance with the present invention.

### **Detailed Description of the Preferred Embodiment**

Figure 1 illustrates the electronic trading system in accordance with the present invention. Client terminals 104 are coupled to a transaction manager 100. The client terminals 104 are personal computers, terminals as part of a network, or any other computing device. Traders use the client terminals 104 to interact with trading pits that are managed by the transaction manager 100. The transaction manager 100 manages transaction requests generated by the client terminals 104, routes information to, from, and between the terminals 104 and the transaction manager 100, and stores and retrieves information from a database 108 or databases 108.

Figure 2 illustrates a more specific embodiment of the transaction manager 100. The clients 104 are coupled to log-in manager 204 to provide to each client access to the transaction manager 100, and to allow each client 104 to designate one or more trading pits 220 to which to be connected. The transaction manager 100 hosts one or more transaction processors 200. Each transaction processor 200 is responsible for the trading of a specified item, essentially supporting a specific trading pit. The summary information agents 224 for each transaction processor 220 provide a current status of the activity of each pit 220 to a trader connected to the log-in manager 204. The trader can select a pit 220 to which to be connected based upon the summary information. Once the log-in process is complete, the clients 104 are coupled to a registration server 212 for the specified trading pit 220. Registration for each pit 220 requires the client 104 to provide an access key that it received from the login manager 204 during log in.



After registering for a pit 220, the trader is able to add, modify or delete orders for the item being traded in the trading pit 220. One type of an order called a "bid" is an order to buy up to a specific quantity of an item at or below a specific value. Another type of an order called an "offer" is an order to sell up to a specific quantity of an item at or above a specific value. Other types of orders are possible depending on the type of item being traded in the trading pit 220.

Each pit 220 includes a transaction server 200. The transaction server 200 receives orders, matches bids and offers (when a bid and offer are matched it is called a trade or execution) and routes information to both the database 208 and the client terminals 104 connected to the trading pit 220. The client terminals 104 generate icons for bid and offer orders (called bid and offer icons), historical charts and trader icons, and determine the placement of bid and offer icons and trader icons responsive to the information received from the transaction server 200. The database 208 to which the transaction server 220 is coupled stores the information corresponding to each trader, information on every order submitted over a period (such as start of trading days), information on every trade over a period (such as last 180 days) and the information corresponding to the item being traded. Each trader may have information associated with the trader's account stored, including a name, e-mail account, address, phone number, personal value quantifying metric or analytic activity level history, and various other information which is unique to the individual trader and which may be used by the present invention to create a virtual trading environment.

The information corresponding to every order includes whether the order was a new order, modifications to an existing order or deletion of a previously submitted order,

the type of order (for example, bid or offer), the value, the quantity, the time and date the order was submitted, and any other information specific to the order. The information corresponding to every trade includes the value, quantity, buyer and seller. The information corresponding to the item being traded includes the highest outstanding bid value and the lowest outstanding offer value for the item, as well as a list of the values of all open orders for the item. The item information is stored on the database 208 in a data structure such as an order table. The server 200 updates the information in the order table responsive to receiving information from the client terminals 104. The updated information is then transmitted back to the client terminals 104. Other information, such as information used in creating historical charts, may also be stored on database 208. Information which may be global to more than one pit 220, for example, trader personal information, is also stored on the system database 108, to allow the information to be accessed by each trading pit 220.

For traders registered to the same trading pit 220, all of their orders (i.e. bids or offers specifying a value and quantity) are transmitted to the transaction server 200 for that pit 220. The server 200 analyzes the orders for matches with outstanding, or open, orders. If there is a match between orders of different types, for example, between a bid and an offer, then a transaction is enacted and the client terminals 104 are notified to remove the matched icons. All outstanding orders are transmitted to each client terminal, allowing a trader to view all of the outstanding orders from all traders for an item on a trading pit at any given time. The client displays are updated continuously or at specific intervals to provide updated information regarding which orders are outstanding and the state of the market in the pit 220.. - As shown in Figure 2, multiple trading pits 220 are

provided in the electronic trading system, and a single trader may be connected to as many pits 220 at the same time as desired. The number of trading pits 220 which may be maintained in accordance with the present invention is scalable responsive to the number of servers which are provided in the system. The items of trade include any possible commodity, for example, minerals, futures, or shares in a corporation. Other network configurations can be used to implement the electronic trading system as is known to those of ordinary skill in the art.

The client terminals 104 provide the interactive link between the traders and the trading pits 220, and display the various user interfaces of the present invention. Figure 3a illustrates a priority view 312 which is designed to allow traders to intuitively place orders 300, 304 and view markers 336 representing value quantifying metrics, and contextual trend data 316 in accordance with the present invention. In the priority view embodiment, orders 300, 304 are displayed at a location corresponding to their value with respect to the value axis 332. Values may represent price, interest rate, or any other metric by which an item may be valued. For example, offer 304(1) has a value of \$28.45, and the lowest point of the bottom edge 308 of the icon 304(1) is aligned with the value 28.45 on the value axis 332. In this embodiment, the top edges 309 of the bids and bottom edges 308 of the offer icons are angled. The rightmost bid is the bid having the highest value, and the rightmost offer is the offer having the lowest value. This allows the edges 308, 309 of the icons 300, 304 to form a triangle which points to the separation in value between the last lowest offer and the last highest bid. The quantity of each order is represented by a size of the icon such as its length or height. Icons having a larger size represent orders having a greater quantity. The specific quantity and other information of

an order displayed on the screen may be known by selecting that order, which invokes a pop-up window to display the precise value and quantity of the selected order. In an alternate embodiment, the specific order information is displayed in the order task bar 328, in response to a trader selecting a bid or offer icon provided the order was submitted by the trader selecting the order. Alternatively, if space permits, the quantity and value may displayed in the icon itself.

If there are several orders with equal value, the orders are stacked or placed adjacent to each other responsive to the time at which the order was placed. For example, bids 300(5), 300(6), 300(7) have equal values at \$29.50. Therefore, all three bid icons 300 are vertically stacked. A preferred method of stacking places the oldest orders closest to the horizontal space which naturally occurs and separates the bids and the offers. The horizontal separation between the bids and the offers occurs naturally because all of the bids displayed are always at a lower value than the displayed offers. If a bid is placed at a value equal to or exceeding an offer value, a transaction will be made immediately and the icons removed. For example, in the stack containing orders 300(7), 300(6), and 300(5) in Figure 3a, the first and therefore the oldest bid in time was 300(7), and is placed at the top of the stack, closest to the horizontal separation between the displayed bids and offers. The other two stacked bids 300(6), 300(5) are positioned below the oldest bid 300(7), corresponding to the time at which they were submitted, and sorted in order of oldest to newest. In the stack containing offers 304(2), 304(3), and 304(4), the oldest offer 304(2) is positioned on the bottom of the stack closest to the horizontal separation, and the newest offer 304(4) is positioned on the top of the stack.

The above method of ordering bids and offers is a preferred method, however other ordering schemes could be used within the scope of the present invention.

The trader using the client terminal 104 in accordance with the present invention, is shown all of the outstanding orders 300, 304 for the item being traded. This is one significant difference between the present invention and conventional systems because a trader using a system in accordance with the present invention is able to view trends in the bids and offers in addition to the buying and selling of the item being traded. For example, in Figure 3a, a trader can quickly analyze the outstanding orders 300, 304, and determine that there are an almost equal number of bids 300 (8) as offers (9). Thus, the trader may infer that the market is stable, and the value for the item will not be dramatically driven up or down in the near future. Accordingly, the trader may decide to take no action. However, as shown in Figure 3b, if demand builds through an increased number of bids being made, as shown by the display of an increased number of bid icons 300, or bids are being made for large quantities, as shown by the display of bid icons 300 having a greater size, and if supply recedes as indicated by the display of a reduced number of offers icons 304, the trader can anticipate that the value for the item will increase. Consequently, the trader will place bids for the currently low valued offers 304. Thus, by viewing all outstanding offer icons 304 and bid icons 300 as they are made on an item, the trader can anticipate the market and quickly adjust his or her trading plans to take advantage of the information. In contrast, in conventional systems, the trader only knows the last highest bid and the last highest offer. In the example of Figure 3a, the trader would only know the existence of bid 300(9) and offer 304(1). Only the market maker would know of the existence of the other bids and offers. Individual traders would

therefore be unaware of trends in bidding, and experience greater difficulty in anticipating the market.

The trader can also view the gap between offer icons 304 and bid icons 300 to determine at what value sales may be made and for what quantity. In the example of Figure 3a, the trader can determine that there are several bids 300(5), 300(6), 300(7), at a value slightly less than \$27.35. Therefore, if the trader has a number of items to sell, the trader can make offers at that value and be assured of a sale of all of his or her items. However, if this value is too low, the trader can choose to keep all of his items until the value of the item has risen, which would be reflected in the display of additional bid icons at a higher value position in the screen. In contrast, if a trader was using a conventional system, the trader would have to offer his items incrementally, without knowing in advance when sales are likely to be made.

The value axis 332 indicates the value at which an item is being traded. This value may represent different qualitative measures for an item, such as the raw price for the item; for bonds, the value could be the cost for the bond or the implied interest rate for the bond, or the value be used as a measure for an implied volatility of the item, for example, a generic measurement of the relative expense of an option. Each trader can use their own value scale. For example, one trader may use a bond cost as an axis of values and another may use the implied interest rate of the bond. Regardless of a trader's choice of value, the different orders are displayed on the trader's screen in terms of the value the trader is chosen. Additionally, the value scales are completely customizable. For example, a gold arbitrageur could create a scale that measures the difference between the futures price of the metal less the spot cash price of the metal. The arbitrageur could then

apply the cost of carry, including insurance and storage, to the future/cash price difference to generate an implied interest rate for the gold. Thus, the value axis for the arbitrageur would be an interest rate. In another example a trader who is interested in trading soybean oil could buy and sell soybeans, but, by using a value axis which  
5 accounts for the current cost of crushing soybeans, storage of soybeans, transport, etc, can be actually trading in soybean oil. Thus different traders in the same trading pit 220 would see the same bid and offers but organized with respect to their own specific value axis. Thus, the present invention provides enormous flexibility in constructing a view of an item's value which is directly representative of the trader's own interest in the item.

10 The priority view 312 offers several other advantages to a trader. The offers 304 and the bids 300 are displayed in different colors, shapes, textures or sizes, or other distinguishing visual characteristics, to allow the trader to quickly ascertain the current state of the market for this item. Additionally, orders made by the trader are displayed having a different visual characteristic than the visual characteristic used to display orders  
15 of other traders. This allows the trader to easily distinguish between their own orders and the orders of other traders. For example, in Figure 3a, the trader is able to immediately determine that offers 304(3) and 304(7) are the trader's own offers 304, and therefore should be discounted from any market analysis. In Figure 3a, the trader can also quickly determine that the trader himself is the trader with the most bids 300 in place, which  
20 suggests to the trader that the value for the item may be driven down if the trader removes his bids 300 from the pit 220.

Orders can be placed by a trader using the user interface of the present invention in variety of ways. In one embodiment, as shown in Figure 3a, the trader can directly

submit an order by using the order task bar 328. The options to specify value and quantity of either a bid or offer, and the expiration period are provided. After the information is entered, the trader selects Place Order, and the order is submitted to the transaction server 200 for the pit 220, and an offer or bid icon 304, 300 is generated and displayed at the desired location at the desired size. The order information is  
5 communicated to the transaction server 200 and from there to the other client terminals, so that the new bid/offer appears in the displays of all other traders in this same pit. In a preferred embodiment, the trader submits an order by simply selecting either an offer token 324 or bid token 320 using a pointing device. After being selected, the trader  
10 adjusts the size of the offer or bid token 324, 320 until the size of the token matches the desired quantity of the order. Preferably, a pop-up window or other screen indicator is displayed to show in numerical terms the quantity of the current size of the token, to ease the process of creating a properly sized order token. Next, the token is dragged to a location on the screen which corresponds to the desired value of the order. Again, a  
15 screen indicator displays the current value for the token at its current location as it is being dragged to allow precise placement of the token at the desired value.

In the embodiment of Figure 3a, a value marker 344 follows bid token 320 as it is moved to a location in the display. The value marker 344 indicates the value of the new order as the order is being placed. This allows for the trader to easily and precisely move  
20 the token 320, 324 to the desired value. After reaching the desired value, the trader releases the pointing device button and a Buy pop-up window 350, as shown in Figure 3d, is displayed with the bid order information. The Buy pop-up window 350 allows the trader to modify the order information (value, quantity, expiration), cancel the order or



submit the order with the presently displayed information. If the order is to sell an item, a Sell pop-up window 354 is displayed, as shown in Figure 3e. After the order is submitted to the transaction server, it will be displayed on the screens of all traders in this trading pit connected to the transaction server 200.

5           An additional feature of the user interface of the present invention is the provision of contextual data. Contextual data comprises historical trading data of the item, historical or current trading data of other items, historical or current trading data of an average of items. For example, the trader may wish to have the Dow Jones Average <sup>TM</sup> displayed on the screen, and updated in realtime. Viewing contextual data along with the  
10   outstanding offers and bids allows the trader to better anticipate the market. For example, if the Dow Jones <sup>TM</sup> average is used as the contextual data, and is falling sharply, the trader may decide to begin selling his items even though the value of the item in the pit 220 has been stable. This allows the trader to anticipate where the market is headed. Any type of data useful to the trader can be displayed as contextual data. The contextual  
15   data 316 is preferably displayed as a historical chart 316 along a vertical axis of values and against a horizontal axis of time. The historical chart 316 can be displayed against any time period, for example, hours, minutes, etc. The historical chart 316 is updated periodically as the data for the item is updated. If the historical chart 316 includes the  
20   current item, as shown in Figure 3a, bar lines are displayed in the data to indicate the high and low values of the item for that time period. A volume graph 340 is displayed at the bottom edge of graph. The volume graph illustrates the volume of transactions in the pit 220, and gives additional information to the trader regarding the state of the market for the item.

Yet another feature of the user interface of the present invention is the display of a marker 336. The marker 336 is representative of a value quantifying metric specified by the trader. The metric determines a current action value for the item which identifies the value at which the trader should act if the value of the item rises above the action value or falls beneath the action value. For example, in Figure 3b, the value quantifying metric  
5 generates an action value of \$68.57. The marker 336 is displayed at this value to indicate to the trader the location of the action value in relation to the current bids 300 and offers 304. In the example of Figure 3b, the marker is displayed as an action line 336. As can be seen, the outstanding bids are below the action line 336 and the current offers are  
10 above the action line 336. This indicates to the trader that no action should be taken.

The value quantifying metric can be an algorithm or formula based upon factors the trader believes are important in ascertaining the true worth of an item. This metric can be set to reflect value-to-earnings ratio, volatility, volume of orders, per cent gain, or any simple or complex design. The trader can input a custom metric or can select a  
15 metric from a predesignated list of metrics. Metrics may also be purchased from 3<sup>rd</sup> parties and incorporated into the client terminal 104. This allows new metrics to be added at any time. The action value displayed by metrics are dynamically determined either by the client terminal 104 or the server 200, and updated whenever new data is received regarding a component of the metric. Thus, the trader is given the latest  
20 information to update the trader's action line 336, allowing the trader to make current, informed decisions regarding possible orders. For example, in Figure 3c, the metric has been updated from the time of Figure 3b. The action line 336 has moved corresponding to the new action value of \$80.21. As can be seen, displaying the updated action line 336

allows the trader to immediately determine that the outstanding offers are now below his action line 336, and therefore that these offers should be purchased despite the fact that the offers themselves remained at the same value from the time of Figure 3b to the time of Figure 3c.

5 As discussed above, a trader may be connected to several trading pits 220 at once. If a trader has multiple connections, the trader can view the different pits 220 simultaneously, or if the trader wishes to concentrate on a single item, the trader can have only one pit 220 displayed. Additionally, the trader can disable the different options for a view to suit the trader's preferences, and maximize visibility for a trader's particular  
10 terminal 104.

Figure 4 illustrates an alternate view of the user interface in accordance with the present invention. The value/quantity view 420 illustrates the market for the item using a first axis of values 408 and a second axis 412 for quantity. Thus, the location of each offer icon 400 and each bid icon 404 represents the value for the offer or bid and the  
15 quantity for which the offer or bid is made. Optionally, the action line 336 is also displayed, as well as the contextual data. The alternate view provides a different intuitive perspective on the state of the market. By providing alternate views, as shown in Figure 3c, the electronic trading system of the present invention allows the different preferences of different traders to be met. Orders in this view are placed by selecting an offer token  
20 416 or a bid token 412 and moving the token to a location which corresponds to the desired quantity and value. If the trader wishes to purchase immediately, the trader can simply drag a bid token 412 to the location directly over any offer token, and a window pops up displaying a bid order with value and quantity equal to that of the offer token. If

the trader wishes to sell immediately, the trader can simply drag an offer token 416 to the location directly over any bid token, and a window pops up displaying an offer order with value and quantity equal to that of the bid token. The trader can then execute the transaction.

5           Figure 5 is a flow chart illustrating a preferred embodiment of the user interface in accordance with the present invention. The client terminal 104, through data received from the transaction server 200, displays 500 at least one outstanding bid icon corresponding to a quantity and value of the bid. The client terminal 104 also displays 504 at least one outstanding offer icon corresponding to a quantity and value of an offer.  
10       Thus, by displaying at least one outstanding bid and offer icon, the "book" is opened and traders viewing the client terminal can readily spot trends in supply and demand for an item and quickly anticipate the market.

          Figure 6 illustrates an embodiment of a method of generating an order icon in accordance with the priority view 312 of the present invention. First, the client terminal  
15       104 receives 600 the order type. The order can be either a bid or an offer. The trader specifies the type by selecting an offer or bid token to place the order, or by manually indicating the order type on the task bar. Second, the client terminal 104 receives 604 a quantity specified for the order. The quantity, as described above, is specified by the trader either by entering the number directly into the order task bar or by adjusting the  
20       size of the order token. In an embodiment where the order information is entered into the taskbar, an order icon will be generated 608 whose vertical size matches the quantity specified after the order has been processed by the server 200. The client terminal 104 then receives 612 a value for the order. Again, the trader can specify the value by

entering the information into the taskbar or can drag the order token to the location corresponding to the value. Finally, the client terminal 104 displays 614 an order confirmation window displaying the value, quantity, and expiration information. The trader can modify the order in this window and then must either cancel the order by closing the window or pressing the cancel button or submit it by pressing the OK button. The client terminal 104 which receives the value and quantity and order type information transmits 616 the information to the server 200. The server 200 then processes the order information, and updates the order table.

Once the server 200 transmits updated order information to a client terminal 104, the client terminal 104, in the priority view, determines 618 whether a slot is open adjacent an existing order which has a lower value, if the order is a bid, or a higher value, if the order is an offer. In the priority view 312, the horizontal axis is divided into slots, each slot having a width equal to an order icon 300, 304 and each slot separated by a standard set-off unit. Incoming orders are sorted by the value of the order. For offers, the offers with the lowest values are positioned closest to the axis of values 332, and for bids, the bids with the highest values are positioned closest to the axis of values 332. When a new order is received, the client terminal 104 re-sorts the outstanding orders and places the order icons 300, 304 in the appropriate positions. If a new order is equal to an existing order of the same type, the order is stacked onto the existing order. Figure 6 illustrates a more detailed methodology of the sorting mechanism, using the example of placing a new bid. However, the methodology is equally applicable to placing a new offer.

A new bid is designated for the slot adjacent an existing bid which has the least value of the set of existing bids having values greater than the value of the new bid. The client terminal 104 determines 618 whether this determined slot has an existing bid within it. If it does not, the icon is placed 636 at the determined slot. If the slot does contain an existing bid, the client terminal 104 determines 620 whether the existing bid has a value less than the requested bid. All existing bids that have values less than the requested bid are moved 640 to the adjacent slot positioned away from the axis of values 332. In the example of Figure 3a, the adjacent slot would be a slot positioned to the left. All other bids having values less than the requested bid are shifted 640 correspondingly. 10 If the client terminal determines 624 that the existing bid has a value equal to the existing bid, the requested bid is stacked 632 below the existing bid or bids, away from the horizontal separation between bids and offers as described above. If the client terminal 104 determines 628 that the existing bid is greater than the requested bid, a new slot is determined 628 for the requested bid, and the process is repeated.

15 As shown in Figure 7, upon receiving new bid information, the transaction server 200 determines 700 whether there is an existing offer in the order table having a value less than or equal to the requested bid. If there is not, the new bid is added to the table, and the information regarding the new bid is sent 702 to the client terminals 104 for display. If there is an existing offer whose value is less than or equal to the requested bid, 20 i.e., if the new bid is the highest value bid outstanding, the server 200 determines 704 whether the existing offer has a quantity which is less than the quantity represented by the bid. If the offer does have a quantity less than the bid, the server removes 706 the offer

from the order table and adds a new bid to the order table with the quantity reduced by the quantity of the offer removed.

The server 200 records 720 a trade between the trader submitting the new bid and the trader submitting the removed offer, at a value equal to the offer value and a quantity  
5 equal to the offer quantity. All of the outstanding client terminals 104 are sent the information regarding the trade. The client terminals 104 then remove the existing offer icon and add a bid icon which has a size corresponding to the difference in quantities between the existing offer icon and the requested bid icon. The transaction server 200 determines 700 again whether there is another existing offer in the order table having a  
10 value less than or equal to the requested bid to determine if another transaction can be made with the quantity remaining in the bid.

The server 200 also determines 708 whether the offer has a quantity greater than the quantity of the requested bid. If it does, the quantity of the offer is reduced 716 by the quantity of the bid, and the updated offer information is sent 717 to the client terminals  
15 104 for display. A trade is recorded 720 between the trader submitting the new bid and the trader who submitted the offer at a value equal to the offer value and a quantity equal to the bid quantity. All of the outstanding client terminals 104 are sent the information regarding the trade and update the user interface displays accordingly.

If the quantities of the bid and offer are equal, the offer is removed 712 from the  
20 table and the transaction is complete. A trade is recorded 720 between the trader submitting the new bid and the trader who submitted the offer at a value equal to the offer value and a quantity equal to the bid quantity. All of the outstanding client terminals 104

are sent the information regarding the trade, and update the user interface displays accordingly.

As shown in Figure 8, in the value/quantity view, the client terminal 104 receives 800 a value, receives 804 a quantity, and receives 806 an order type for a new order. A confirmation window is displayed 807, and, upon confirmation of the order, the order information is transmitted to the server 200. Again, this may occur responsive to the trader entering in the information directly or dragging an order token to the proper location and after confirming the order. The server 200 receives the order information, updates the order table, and sends the updated information to the client terminals 104.

10 The client terminals 104 display a new order icon at a location corresponding to the value and quantity of the order with respect to the axis of quantities and axis of values. If the new order is an offer, and there is an existing bid for a value higher than or equal to the value of the offer, a transaction is completed, and a new offer or a modified bid token is displayed responsive to the quantities that the original offer and bid icons represented.

15 Figure 9 illustrates a trading pit view 900 called the pit panel view 900, in accordance with the present invention. The pit panel view 900 provides a visual interface to other members of the pit 220. All users who are currently registered to the pit 220 are displayed in the pit panel 900. This is critical information to a trader regarding the activity of the pit 220. If the pit 220 is crowded, the trader can expect volatility in trading. If the pit 220 is empty, the trader can expect light trading and relatively stable values for the item.

20

The pit panel 900 displays trader icons 912, observer icons 904, and floor broker icons 908. Observers are users who are registered to the pit 220 but who are not actively



trading and floor brokers are individuals who have expertise on a pit's item and traders, and who assist traders in executing unusual trades, negotiating a deal with multiple traders, or providing history and information on traders to others. As the observers do not trade for themselves, their icons 904 are placed on the outside of the pit icon 916. Floor  
5 brokers who do not trade also have their icons 908 placed on the outside of the pit icon 916.

The trader icons 912 are displayed on the pit icon 916. The pit icon 916 is preferably displayed as a series of concentric polygons, where each polygon represents an activity level or levels. Traders who are more active are placed closer to the center of the  
10 pit icon 916. The most active trader, in the example of Figure 9, trader 912(1), is placed in the center of the pit icon 916. In a preferred embodiment, each polygon represents a range of activity levels. For example, the innermost polygon contains the traders with the second through ninth highest activity levels. The next polygon contains the traders  
15 having the tenth through twenty-sixth highest activity levels, and so forth. By grouping traders into activity ranges, and thus shifting a trader's icon out of a polygon only in response to the trader's activity level shifting out of the range represented by the polygon, icon changes and consequent flicker in the display of the pit icon 916 are minimized. However, a trader is able to easily ascertain who the active traders in a pit 220 are and how active the traders are by noting the relative locations of the trader icons 912 in the pit  
20 icon 916.

Each trader icon 912 has order indicators 913 to show the quantity of orders a trader has outstanding. Preferably, there are separate indicators 913 for bids and offers, each showing the volume of outstanding bids or offers the trader currently has placed.

Other order indicators 913 may be optionally displayed, for example, indicating the sum of all quantities of orders or the volume of orders entered over a specified period of time. Selecting a trader's icon 912 will also highlight the trader's orders on the priority view, value/quantity view, and other views provided in the system that display orders and  
5 which can all be displayed concurrently. Double clicking on a trader icon 912 generates a communication window as shown in Figure 11 which allows the trader to send an email message 1108, send an instant message 1104 as part of a text chat session, communicate by voice over the network connection 1112, or set up a later telephone call or other optional communication to the selected other trader. Thus, the pit panel 900 provides a  
10 sense of community in the pit 220 by visual representing useful information, and provides additional information to the trader which the trader can use in anticipating the market.

Figure 10 is a flow chart illustrating a preferred embodiment of generating and placing a trader icon in accordance with the present invention. First, a trading pit icon 916 is displayed 1000. Next, the client 104 determines 1004 whether a predetermined  
15 period of time has passed. The pit panel data is updated periodically, and the client 104 waits for that amount of time before re-generating the display with the new data. If the server 200 determines 1004 that the predetermined period has expired, a first trader icon is selected 1008. The client 104 determines 1010 whether the trader is still connected to the server 200 from the data provided by the server 200. If the trader is not, the trader  
20 icon 912 for the trader is removed 1011, and the client 104 determines 1020 whether there are more traders. If the trader is still connected, an activity level is determined 1012 for the trader. Activity levels are determined as a combination of the volume of outstanding orders, the value of outstanding orders, recent activity, or other measures

which determine how active a trader has been. Once the activity level has been determined, the client 104 displays 1016 the icon 912 for the trader at the location corresponding to the activity level. In an embodiment where order indicators 913 are displayed, the order indicators 913 are updated to include the latest order data. In the preferred embodiment, as discussed above, the pit icon 916 is comprised of concentric polygons or rings, the traders are ordered by activity levels, and each polygon represents a range of activity level orders. After the activity level of a trader is determined, the traders are reordered responsive to their activity levels, and the trader icon 912 for each trader is placed in the polygon designated for the order of the trader. The client 104 determines 1020 if there are more traders. If there are not, the client 104 determines 1024 if there are bystanders and, if there are, selects 1028 the first bystander icon 904, 908 and determines 1032 whether the bystander is connected using data that is provided by the server 200. If the bystander is not connected, the bystander icon is removed 1040. If the bystander is connected, the client 104 determines 1036 whether there are more bystanders. If there are not, the client 104 returns to the step of determining 1004 whether a predetermined time period has ended, as the pit panel 900 view has been updated to reflect the current users and their current activity levels.

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1 We Claim:

- 1 1. A method for displaying transactional information regarding the buying and  
2 selling of items in a system where orders comprise a bid type or an offer type, and an  
3 order is generated for a quantity of items at a specific value, the method comprising:  
4 displaying at least one bid icon, corresponding to a bid for a quantity of  
5 items, at a location along a first axis of values corresponding to the  
6 value of the bid; and  
7 displaying at least one offer icon, corresponding to an offer type order for  
8 a quantity of items, at a location along the first axis of values  
9 corresponding to the value of the offer.
- 1 2. The method of claim 1 further comprising:  
2 providing an order token whose size is adjustable by the user to reflect the  
3 quantity of the order.
- 1 3. The method of claim 2 wherein providing an order icon further comprises:  
2 providing an order icon which can be moved to a location corresponding  
3 to the value of the order.
- 1 4. The method of claim 1 further comprising:  
2 receiving a request for an order responsive to a user action specifying a  
3 quantity of items and value for the order; and  
4 displaying further comprises displaying a requested order icon  
5 corresponding to the specified quantity and value information.

1 5. The method of claim 4 wherein slots are created within which icons are displayed,  
2 the received request for an order is of the bid type, and displaying further comprises  
3 displaying a bid icon corresponding to the specified quantity and value information, the  
4 method further comprising:

5 placing the requested bid icon into a slot adjacent a slot containing a bid  
6 icon having a value closest to and greater than the value of the bid.

1 6. The method of claim 5 further comprising:

2 determining whether the slot currently contains a bid icon; and  
3 responsive to determining that the slot contains a bid icon, displacing the  
4 bid icon currently within the slot.

1 7. The method of claim 5 further comprising:

2 determining whether the slot contains a currently existing bid icon;  
3 responsive to determining the slot contains a currently existing bid icon,  
4 determining the value of the currently existing bid icon;  
5 responsive to determining that the currently existing bid icon has a value  
6 less than the requested bid icon, displacing the currently existing  
7 bid icon from the slot; and  
8 responsive to determining that the currently existing bid icon has a value  
9 equal to the value of the requested bid icon, placing the requested  
10 bid icon into the slot adjacent the currently existing bid icon within  
11 the slot, wherein the order of the bid icons in the slot indicates the  
12 order that the bids would be matched against offers.

1 8. The method of claim 7 in a system in which the first axis is displayed in a vertical  
2 direction and the slots are positioned vertically, and wherein placing the requested bid  
3 icon further comprises placing the requested bid icon vertically adjacent the currently  
4 existing bid icon.

1 9. The method of claim 4 wherein slots are created within which icons are displayed,  
2 and the received request for an order is of the offer type, displaying further comprises  
3 displaying an offer icon corresponding to the specified quantity and value information  
4 further comprising:

5 placing the requested offer icon into a slot adjacent a slot containing an  
6 offer icon having a value closest to and less than the value of the  
7 offer.

1 10. The method of claim 4 in a system in which order icons placed by a user are  
2 displayed to the user with a first visual characteristic, and order icons placed by other  
3 users are displayed with a second visual characteristic to the user, and wherein displaying  
4 an order icon further comprises:

5 displaying the requested order icon with the first visual characteristic to  
6 the user who requested the order; and  
7 displaying the requested order icon with the second visual characteristic to  
8 other users.

1 11. The method of claim 1 further comprising:

2 displaying an order icon having an edge which is angled toward the axis of  
3 values.

1 12. The method of claim 1 further comprising:

2 receiving a new order for a quantity of items for a specified value;  
3 generating an order icon whose size corresponds to the quantity of items  
4 bid for; and  
5 placing the order icon at a location along the axis of values corresponding  
6 to the specified value of the order.

1 13. The method of claim 12 wherein the order is a bid type further comprising:

2 determining whether a currently displayed offer icon is located at the  
3 specified value or less than the specified value;  
4 responsive to determining that a currently displayed offer icon is located at  
5 the specified value, determining a quantity specified by the  
6 currently displayed offer icon; and  
7 responsive to the quantity of the currently displayed offer icon being equal  
8 to the quantity of the bid, removing the currently displayed offer  
9 icon.

1 14. The method of claim 13 further comprising:

2 responsive to the quantity of the currently displayed offer icon being less  
3 than the quantity of the bid, displaying a bid icon whose size



4 corresponds to the difference between the quantity of the bid and  
5 the quantity of the offer.

1 15. The method of claim 13 further comprising:

2 responsive to the quantity of the offer being greater than the quantity of  
3 the bid, modifying the display of the offer icon to a size that  
4 corresponds to the difference between the quantity of the bid and  
5 the quantity of the offer.

1 16. The method of claim 1 further comprising:

2 receiving a new order for a quantity of items for a specified value;  
3 generating an order icon whose size corresponds to the quantity of items  
4 for which the offer is made; and  
5 placing the order icon at a location with respect to the axis of values  
6 corresponding to the specified value of the offer.

1 17. The method of claim 16 further comprising:

2 determining whether a currently displayed order icon of the same type as  
3 the new order is located at the specified value; and  
4 responsive to determining that a currently displayed order icon of the same  
5 type as the new order is located at the specified value, placing the  
6 generated order icon adjacent the currently displayed order icon  
7 where the displayed order of the offer icons with the same value  
8 indicate the order that the offers would be matched against bids.

- 1 18. The method of claim 1 further comprising the step of:  
2 generating a second axis, perpendicular to the first axis, representing time;  
3 generating a third axis, perpendicular to the second axis, representing  
4 value; and  
5 displaying a historical chart representing values of the item responsive to  
6 time and value with respect to the second and third axes.
- 1 19. The method of claim 18 further comprising:  
2 updating the historical chart responsive to the passage of time.
- 1 20. The method of claim 1 further comprising the step of:  
2 generating a second axis, perpendicular to the first axis, representing time;  
3 generating a third axis, perpendicular to the second axis, representing  
4 value; and  
5 displaying a historical chart with respect to the second and third axes  
6 representing average values of a set of items responsive to time and  
7 value.
- 1 21. The method of claim 1 wherein bid and offer icons representing bids and offers  
2 for a first item are displayed, further comprising the step of:  
3 generating a second axis, perpendicular to the first axis, representing time;  
4 generating a third axis, perpendicular to the second axis, representing  
5 value; and

6 displaying a historical chart representing values of a second item  
7 responsive to time and value with respect to the second and third  
8 axes.

1 22. The method of claim 1 further comprising:

2 computing a value for an item responsive to a value quantifying metric;  
3 and  
4 displaying a marker at a location with respect to the first axis  
5 corresponding to the computed value for the item.

1 23. The method of claim 22 wherein the value quantifying metric comprises a  
2 combination of economic factors, further comprising:

3 updating the computed value responsive to a change in at least one of the  
4 economic factors; and  
5 displaying the marker at a location with respect to the first axis  
6 corresponding to the updated value.

1 24. The method of claim 1 wherein displaying at least one bid icon further comprises:

2 displaying at least one bid icon at a location with respect to a second axis  
3 of quantities at a location corresponding to the quantity of the bid;  
4 and wherein the step of displaying at least one bid icon further  
5 comprises:

6 displaying at least one offer icon at a location with respect to a second axis  
7 of quantities at a location corresponding to the quantity of the  
8 offer.

1 25. The method of claim 24 further comprising:

2 receiving a user action to generate a new bid, wherein said user action  
3 specifies quantity and value information; and  
4 displaying a bid icon at a location with respect to the first and second axes  
5 corresponding to the specified quantity and value information.

1 26. The method of claim 25 further comprising:

2 determining whether an offer is outstanding at a value less than the value  
3 of the new bid;  
4 responsive to an offer being outstanding at a value less than the value of  
5 the new bid, determining a difference in quantity between the new  
6 bid and the outstanding offer; and  
7 responsive to the new bid having a greater quantity than the outstanding  
8 offer, displaying a bid icon with respect to the first and second axes  
9 at a location corresponding to the difference in quantities.

1 27. The method of claim 24 further comprising:

2 receiving a command to generate a new offer, wherein said command  
3 specifies quantity and value information; and

4 displaying an offer icon at a location corresponding to the specified  
5 quantity and value information.

1 28. A method for placing an order for an item at a desired value for a desired quantity  
2 in a system in which remote terminals display all outstanding orders for the item wherein  
3 orders comprise bids and offers, and a transaction server receives orders transmitted by  
4 each remote terminal and communicates the received orders to all remote terminals,  
5 comprising:

6 displaying at least one order token;  
7 receiving a selection for an order token; and  
8 moving the order token to a user specified location with respect to a value  
9 axis and a quantity axis which corresponds to the desired value and  
10 quantity for the order.

1 29. The method of claim 28 further comprising a method of purchasing an item at a  
2 desired value for a desired quantity, wherein said method for purchasing an item  
3 comprises:

4 determining whether a displayed offer icon exists at a location  
5 corresponding to the desired quantity and value; and  
6 responsive to a displayed offer icon existing at a location corresponding to  
7 the desired quantity and value, selecting a bid icon and moving the  
8 bid icon to the location occupied by the displayed offer icon.

1 30. The method of claim 28 further comprising a method of selling an item at a  
2 desired value for a desired quantity, wherein said method for selling an item comprises:  
3 determining whether a displayed bid icon exists at a location  
4 corresponding to the desired quantity and value; and  
5 responsive to a displayed bid icon existing at a location corresponding to  
6 the desired quantity and value, selecting an offer icon and moving  
7 the offer icon to the location occupied by the displayed bid icon.

1 31. The method of claim 28 further comprising  
2 adjusting a size of the order token until the size of the offer icon represents  
3 the desired quantity of the order; and  
4 moving the order token to a location along a value axis which corresponds  
5 to the desired value for the order.

1 32. A method of displaying trading activity of a plurality of traders comprising:  
2 displaying a trading pit;  
3 determining for each trader, an activity level; and  
4 displaying for each trader a token representing the trader at a location in  
5 the trading pit which corresponds to the activity level of the trader.

1 33. The method of claim 32 wherein determining an activity level comprises:  
2 determining a volume of open orders of a trader; and  
3 computing an activity level responsive to the volume of open orders for  
4 the trader.

1 34. The method of claim 32 wherein the trader having a highest level of activity has a  
2 token displayed near the center of the trading pit.

1 35. A computer-readable medium, for an electronic trading system in which items are  
2 bought and sold responsive to orders submitted by traders, each order specifying a value  
3 and quantity for the order, said computer-readable medium containing a program  
4 containing instructions to cause a processor to:

5 display a first axis representing values of an item;  
6 display at least one bid icon which corresponds to a quantity of items in a  
7 bid for the item and a value of the bid at a location with respect to  
8 the first axis; and  
9 display at least one offer icon which corresponds to a quantity of items in  
10 an offer for the item and a value of the offer at a location with  
11 respect to the first axis.

1 36. The computer-readable medium of claim 35 further causing the processor to:  
2 display a historical chart representing historical economic data value for a  
3 set of items.

1 37. The computer-readable medium of claim 35 wherein the at least one bid icon is  
2 displayed having a size corresponding to a quantity of items specified by the bid and the  
3 at least one offer icon is displayed having a size corresponding to a quantity items  
4 specified by the offer.

1 38. The computer-readable medium of claim 35 further causing the processor to:  
2 display a second axis representing quantities of an item; and the at least  
3 one bid icon is displayed at a location which corresponds to the  
4 quantity of the bid and the value of the bid, and the at least one  
5 offer icon is displayed at a location which corresponds to the  
6 quantity of the offer and the value of the offer.

1 39. The computer-readable medium of claim 35 further causing the processor to:  
2 display a pit panel icon, wherein said pit panel icon has concentric rings  
3 and/or shapes; and  
4 display trader icons, wherein said trader icons represent traders currently  
5 trading an item.

1 40. The computer-readable medium of claim 39 further causing the processor to  
2 display trader icons at locations on the pit panel icon responsive to an activity level of the  
3 trader represented by the icon.

1 41. A method for conducting the buying and selling of items comprising:  
2 receiving at least one bid from a first remote terminal and at least one offer  
3 for at least one item from a second remote terminal;  
4 matching a bid for an item with an offer for an item, responsive to the bid  
5 corresponding to the offer; and  
6 communicating outstanding bids and outstanding offers to a plurality of  
7 remote terminals for display on the remote terminals, including the



8 bid received from the first remote terminal and the offer received  
9 from the second remote terminal.

1 42. The method of claim 41, further comprising:  
2 displaying the communicated outstanding bids and outstanding offers.

1 43. A system having a plurality of client terminals for generating bids and offers on  
2 items, and displaying received information on outstanding bids, outstanding offers, and  
3 items upon which bids and offers are made, wherein the system is for conducting the  
4 buying and selling of items, the system comprising:

5 a transaction server, coupled to the plurality of client terminals, for  
6 receiving bids and offers for the items from the client terminals,  
7 matching offers to corresponding bids, and transmitting  
8 information on items, outstanding received bids, and outstanding  
9 received offers to the plurality of client terminals.

1 44. The system of claim 43 further comprising:  
2 a database, coupled to the transaction server, for storing information on  
3 items, received bids, and received offers.

1 45. A method of providing an interface to an electronic trading system in which items  
2 are bought and sold responsive to orders placed by users of the electronic trading system,  
3 each order specifying a value and quantity for the order, said method comprising:  
4 displaying a selection of views for a user;

5 receiving an input selecting a first or second view for display;  
6 responsive to receiving an input selecting a first view, displaying the first  
7 view having an axis of values, wherein the first view displays an  
8 order icon for each outstanding order for an item, and the order  
9 icons are displayed at locations with respect to the value axis  
10 corresponding to the value of the order; and  
11 responsive to receiving an input selecting a second view, displaying the  
12 second view having an axis of values and an axis of quantities,  
13 wherein the second view displays an order icon for each  
14 outstanding order for an item, and the order icons are displayed at  
15 locations with respect to the value axis and the quantity axis  
16 corresponding to the value and quantity of the order.

1 46. The method of claim 45 in a system having at least three views, and receiving  
2 further comprises receiving an input selecting a first, second, or third view for display,  
3 said method further comprising:

4 responsive to receiving an input selecting a third view, displaying the third  
5 view displaying a pit panel and trader icons representing traders,  
6 wherein the trader icons are placed on the pit panel responsive to  
7 an activity level of the trader represented by the trader icons.

1 47. A user interface for an electronic trading system in which offers and bids are  
2 generated, each offer and bid having a value and quantity, the user interface comprising:

3 an axis of values;  
4 an axis of quantities;  
5 at least one offer icon representing an outstanding offer at a location  
6 corresponding to the value and quantity of the offer; and  
7 at least one bid icon representing an outstanding bid at a location  
8 corresponding to the value and quantity of the bid.

1 48. The user interface of claim 47 wherein the axis of values is a vertical axis, and the  
2 user interface further comprises:  
3 a historical chart of contextual data, wherein said historical chart is  
4 generated responsive to a horizontal axis of time and the vertical  
5 axis of values.

1 49. A user interface for an electronic trading system in which offers and bids are  
2 generated, each offer and bid having a value and quantity, the user interface comprises:  
3 an axis of values;  
4 at least one offer icon representing an outstanding offer at a location  
5 corresponding to the value and quantity of the offer and having a  
6 size corresponding to the quantity of the offer; and  
7 at least one bid icon representing an outstanding bid at a location  
8 corresponding to the value and quantity of the bid and having a  
9 size corresponding to the quantity of the bid.

1 50. The user interface of claim 49 wherein the axis of values is a vertical axis, and the  
2 user interface further comprises:

3 a historical chart of contextual data, wherein said trend line is generated  
4 responsive to a horizontal axis of time and the vertical axis of  
5 values.

1 51. The user interface of claim 49 in which order icons placed by a user are displayed  
2 with a first visual characteristic to the user, and order icons placed by other users are  
3 displayed with a second visual characteristic to the user.

1 52. The user interface of claim 49 in which the bid icons are displayed having a top  
2 edge which is angled toward the axis of values and the offer icons are displayed having a  
3 bottom edge which is angled toward the axis of values.

1 53. A user interface for an electronic trading system in which traders generate offers  
2 and bids for items, the user interface comprising:  
3 a pit panel icon representing a trading pit for trading the item, including a  
4 plurality of concentric areas; and  
5 trader icons, wherein each trader icon represents a trader currently trading  
6 an item in the trading pit.

1 54. The user interface of claim 53 wherein the trader icons are placed within the pit  
2 panel icon responsive to the offers and bids generated by the traders.

1 55. A method for displaying transactional information in an electronic trading system  
2 in which offers and bids are generated, each offer and bid having a value and quantity, the  
3 method comprising:

4 displaying an axis of values;  
5 displaying an axis of quantities;  
6 displaying at least one offer icon representing an outstanding offer at a  
7 location corresponding to the value and quantity of the offer; and  
8 displaying at least one bid icon representing an outstanding bid at a  
9 location corresponding to the value and quantity of the bid.

1 56. The method of claim 55 wherein the axis of values is a vertical axis, and the  
2 method further comprises:

3 displaying a historical chart of contextual data, wherein said trend line is  
4 generated responsive to a horizontal axis of time and the vertical  
5 axis of values.

1 57. A method for displaying transactional information for an electronic trading  
2 system in which offers and bids are generated, each offer and bid having a value and  
3 quantity, the method comprising:

4 displaying an axis of values;  
5 displaying at least one offer icon representing an outstanding offer at a  
6 location corresponding to the value and quantity of the offer and  
7 having a size corresponding to the quantity of the offer; and

8 displaying at least one bid icon representing an outstanding bid at a  
9 location corresponding to the value and quantity of the bid and  
10 having a size corresponding to the quantity of the bid.

1 58. The method of claim 57 wherein the axis of values is a vertical axis, and the  
2 method further comprises:

3 displaying a historical chart of contextual data, wherein said trend line is  
4 generated responsive to a horizontal axis of time and the vertical  
5 axis of values.

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## USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

### Abstract of the Invention

5 A user interface for an electronic trading exchange is provided which allows a remote trader to view in real time bid orders, offer orders, and trades for an item, and optionally one or more sources of contextual data. Individual traders place orders on remote client terminals, and this information is routed to a transaction server. The  
10 transaction server receives order information from the remote terminals, matches a bid for an item to an offer for an item responsive to the bid corresponding with the offer, and communicates outstanding bid and offer information, and additional information (such as trades and contextual data) back to the client terminals. Each client terminal displays all of the outstanding bids and offers for an item, allowing the trader to view trends in orders  
15 for an item. A priority view is provided in which orders are displayed as tokens at locations corresponding to the values of the orders. The size of the tokens reflects the quantity of the orders. An alternate view positions order icons at a location which reflects the value and quantity of the order. Additionally, contextual data for the item is also displayed to allow the trader to consider as much information as possible while making  
20 transaction decisions. A pit panel view is also provided in which traders connected to the pit are represented by icons, and are displayed corresponding to an activity level of the trader.



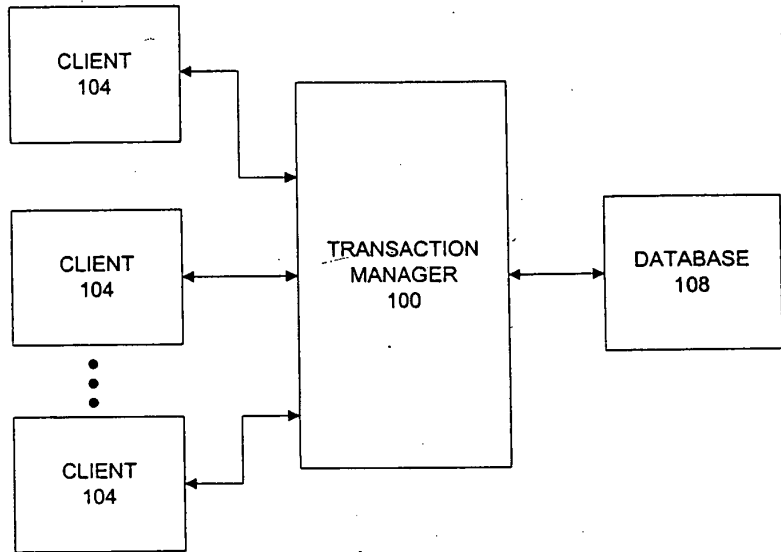


FIGURE 1

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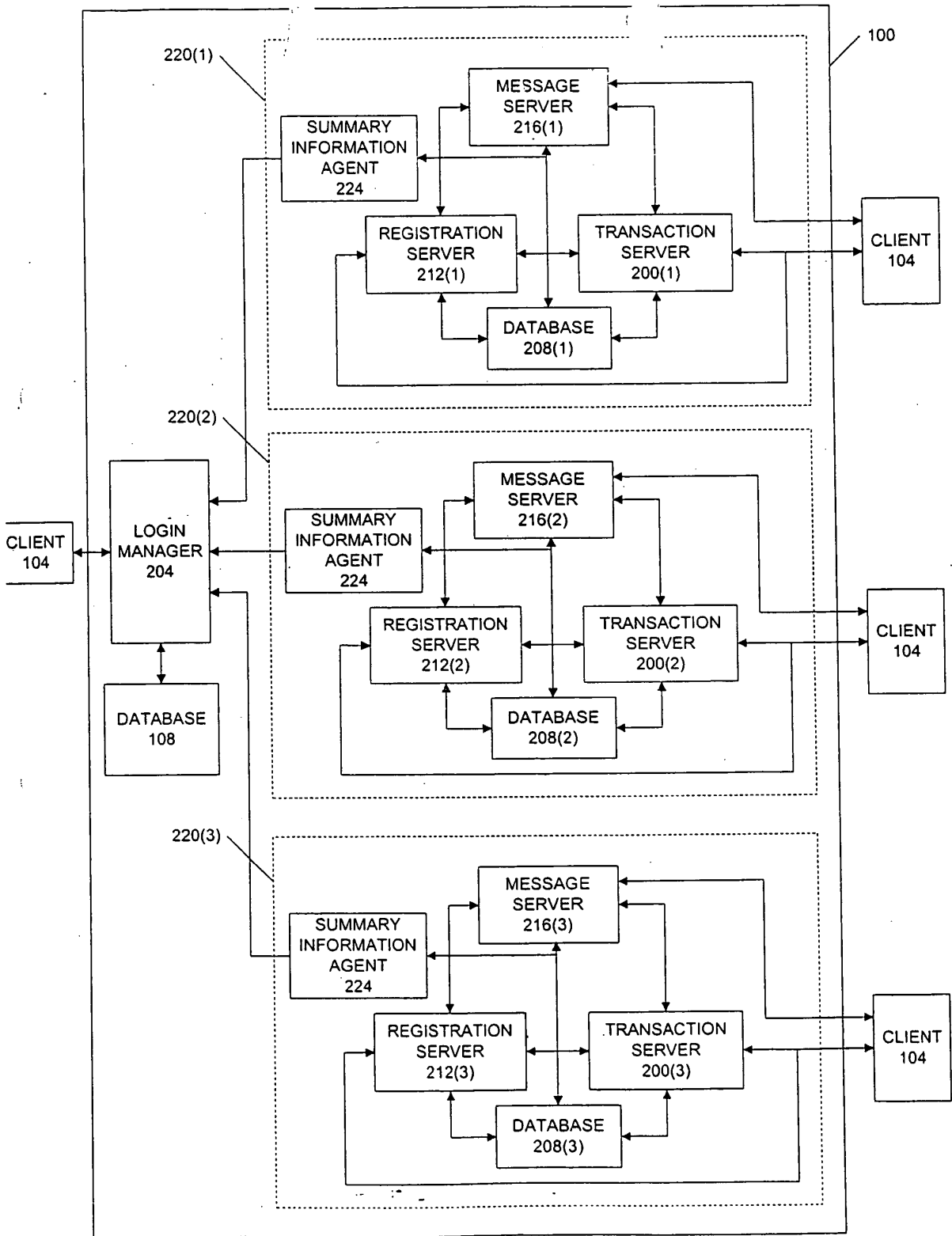


FIGURE 2

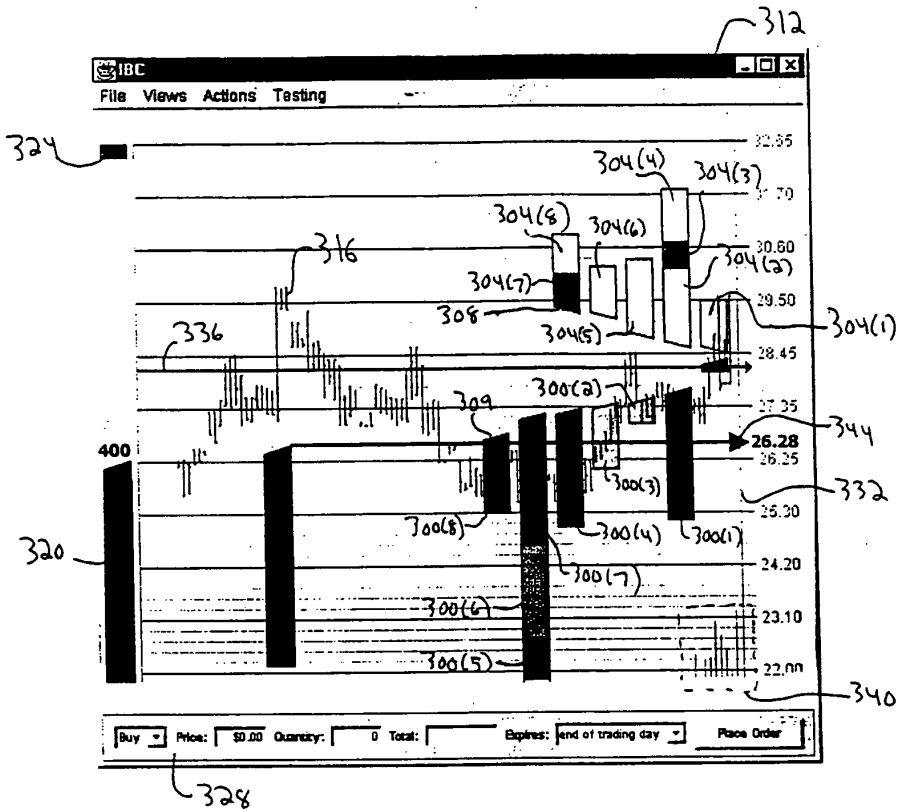


Figure 3a

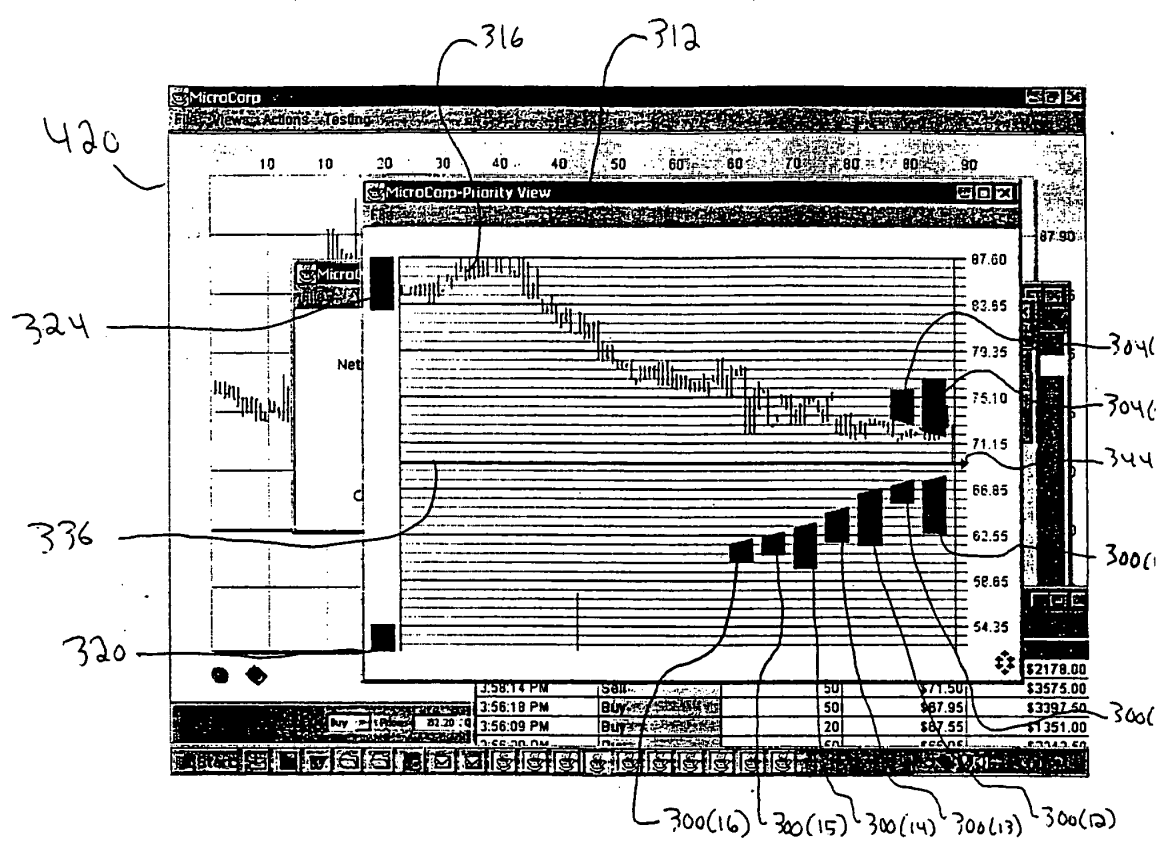


Figure 3b

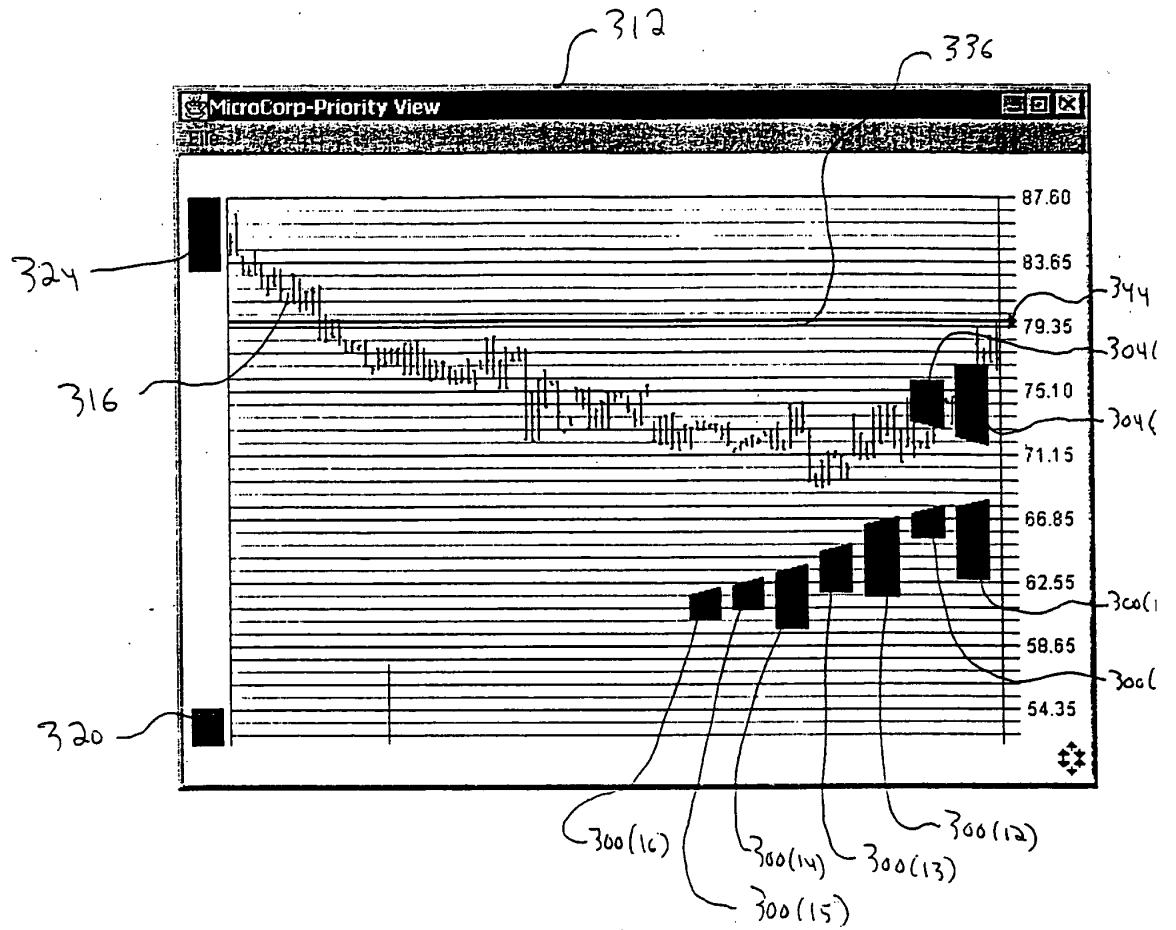
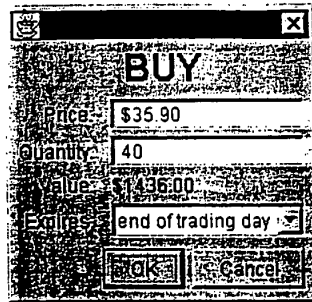
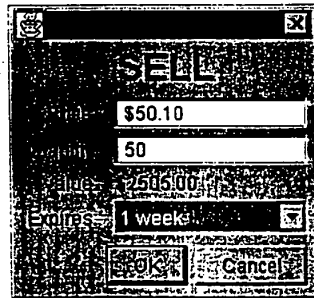


Figure 3c



350

Figure 3d



354

Figure 3e

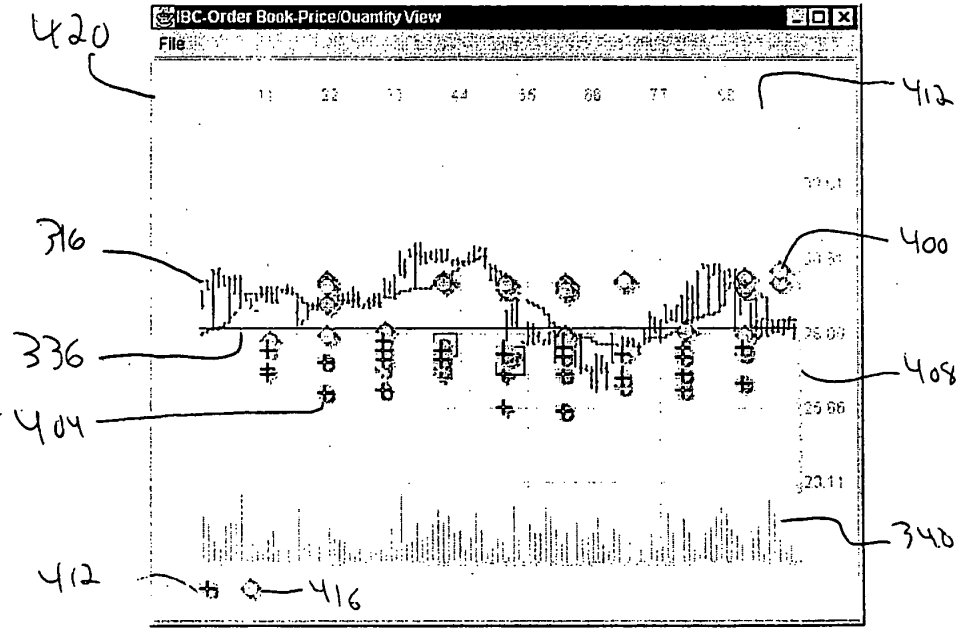


Figure 4

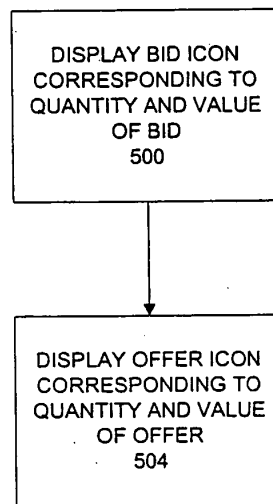


FIGURE 5



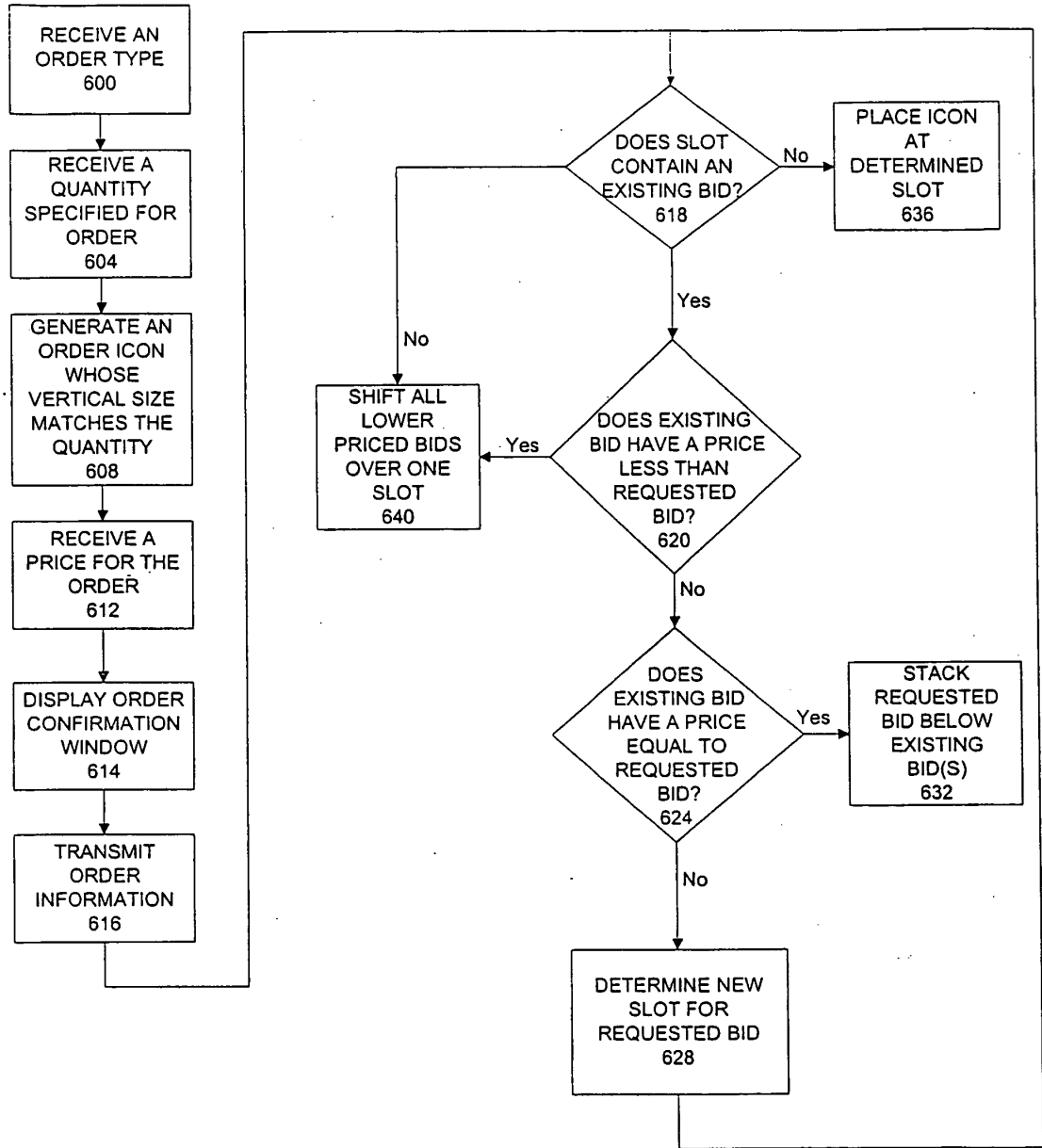


FIGURE 6

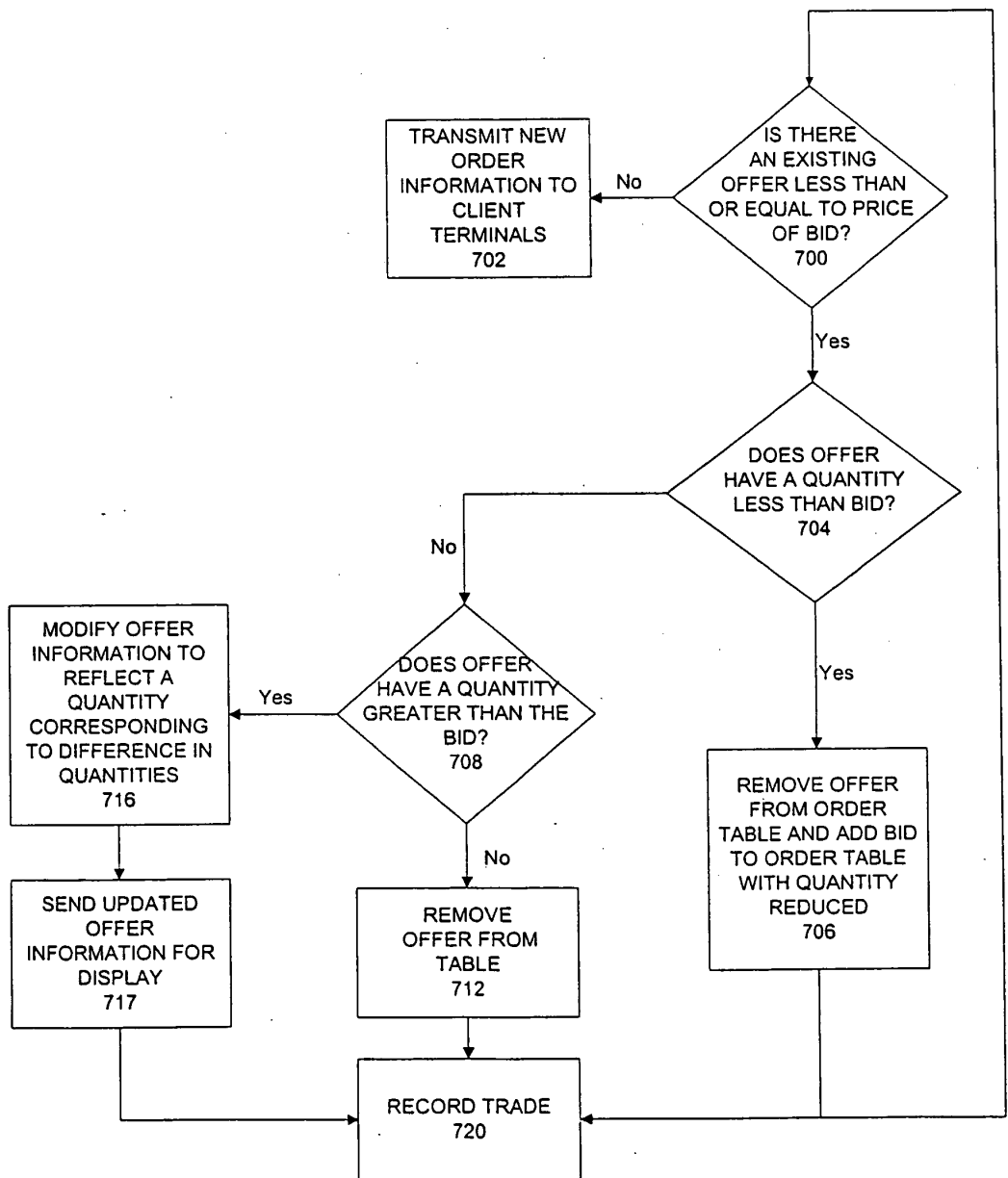


FIGURE 7

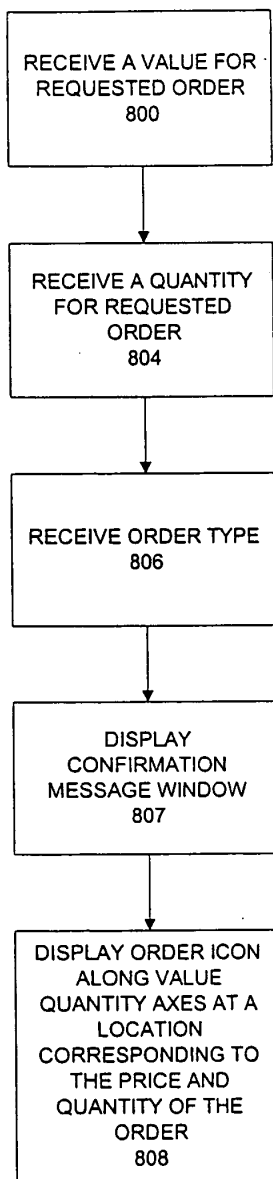


FIGURE 8

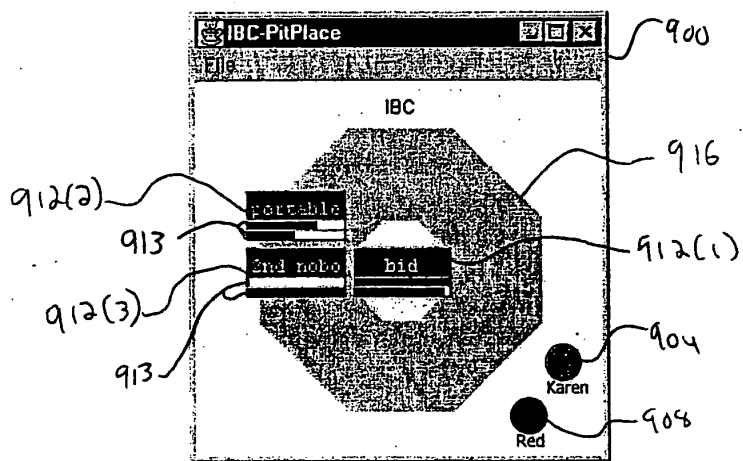


Figure 9

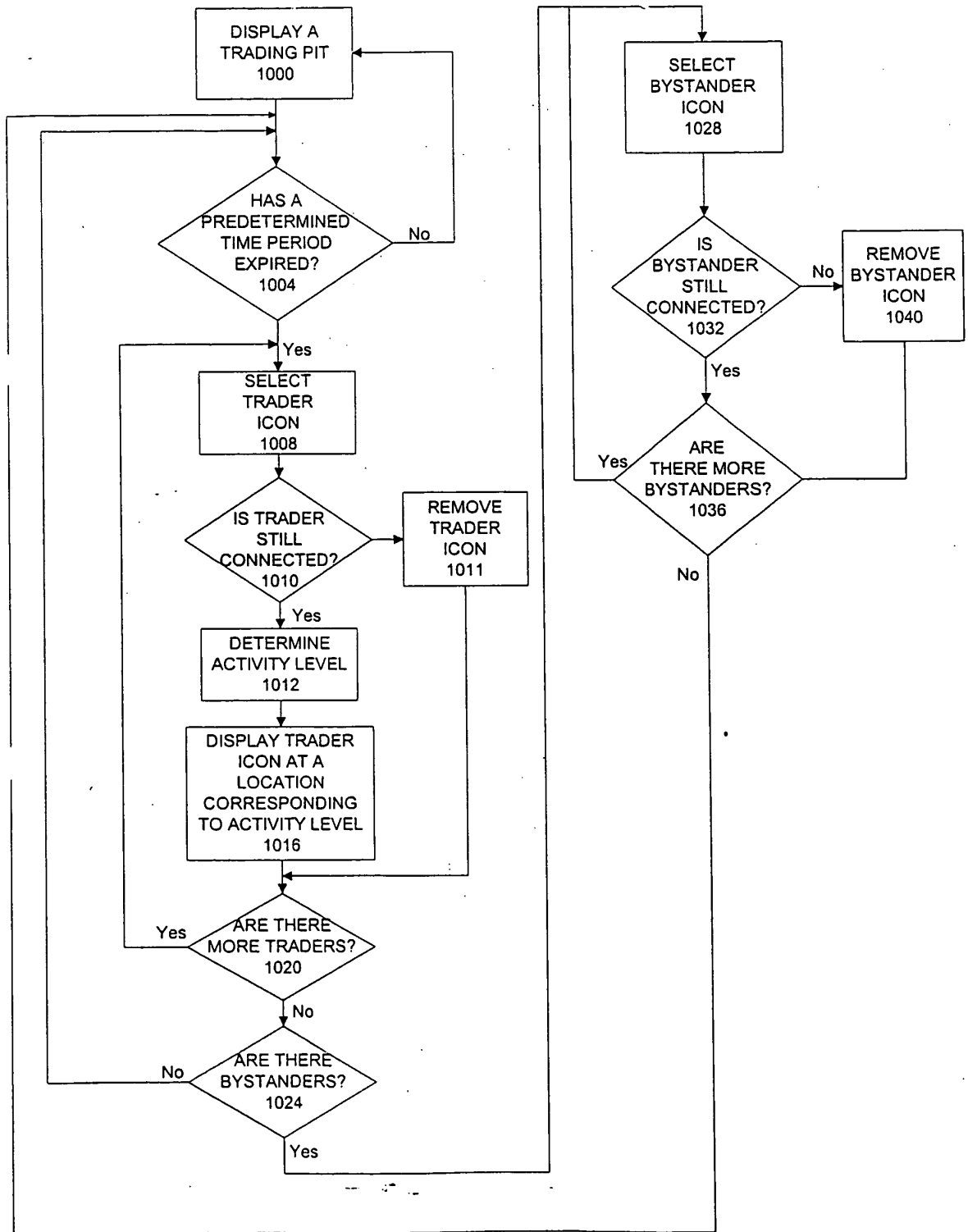


FIGURE 10

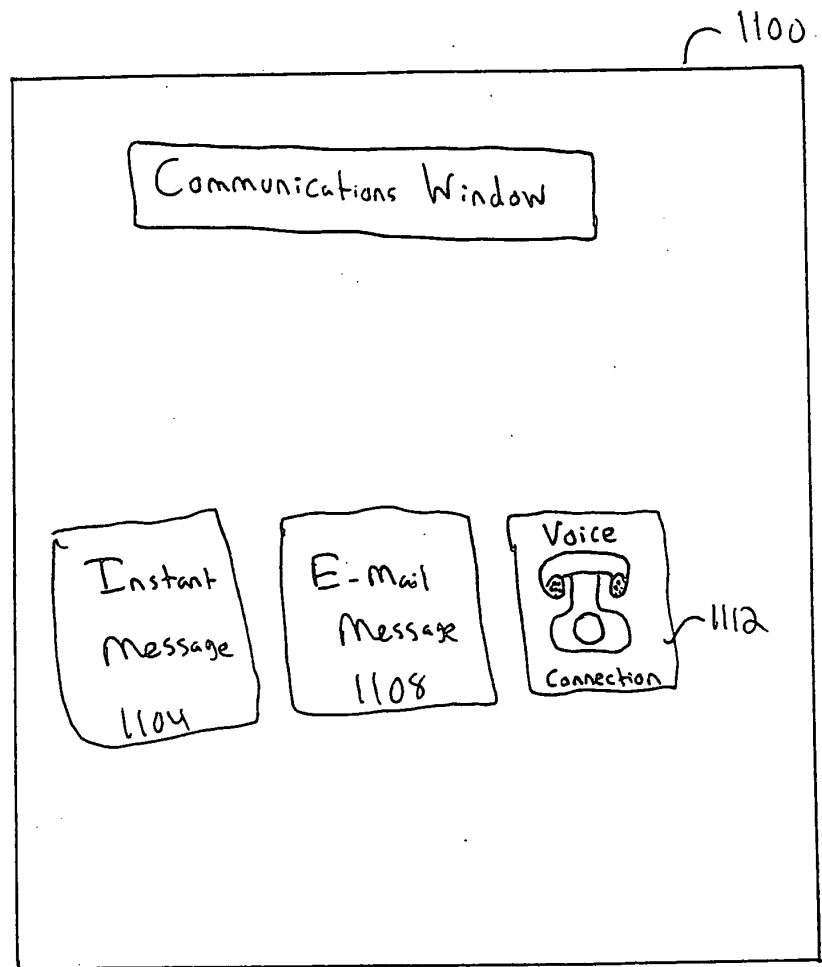


Figure 11

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0010/PTO Rev. 6/95	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket Number <b>3854</b>	First Named Inventor <b>Richard W. Friesen</b>
<b>DECLARATION FOR                  UTILITY OR DESIGN                  PATENT APPLICATION</b>		COMPLETE IF KNOWN	
		Application Number <b>09/289,550</b>	
		Filing Date <b>April 9, 1999</b>	
		Group Art Unit <b>2773</b>	
<input type="checkbox"/> Declaration Submitted with Initial Filing		OR	<input checked="" type="checkbox"/> Declaration Submitted after Initial Filing
		Examiner Name <b>Not Yet Known</b>	

As a below named inventor, I hereby declare that:  
 My residence, post office address, and citizenship are as stated below next to my name.  
 I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM**

the specification of which (Title of the Invention)  
 is attached hereto  
 OR  
 was filed on (MM/DD/YYYY) April 9, 1999 as United States Application Number or PCT International Application Number 09/289,550 and was amended on (MM/DD/YYYY) [ ] (if applicable).  
 I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.  
 I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code § 119 (a)-(d) or § 385(b) of any foreign application(s) for patent or inventor's certificate, or § 365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority	Certified Copy Attached?	
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Additional foreign application numbers are listed on a supplemental priority sheet attached hereto:

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental sheet attached hereto.



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<b>DECLARATION</b>	Page 2
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I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto.

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Name	Registration Number	Name	Registration Number
Dana Rao Robert R. Sachs	43,875 42,120		

Additional attorney(s) and/or agent(s) named on a supplemental sheet attached hereto.

Please direct all correspondence to:


**Dana S. Rao**  
**Fenwick & West LLP**  
**Two Palo Alto Square**  
**Palo Alto, CA 94306**  
**U.S.A.**

Telephone (650) 858-7816	Fax (650) 494-1417
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Name of Sole or First Inventor:**  A petition has been filed for this unsigned inventor

Given Name	Richard	Middle Initial	w.	Family Name	Friesen	Suffix e.g. Jr.
------------	---------	----------------	----	-------------	---------	-----------------

Inventor's Signature:  Date: 5/20/99

Residence: City	Fairfax	State	CA	Country	U.S.A.	Citizenship	U.S.A.
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Mailing Address: 132 Ridge Road

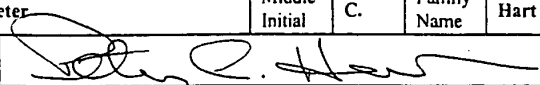
City	Fairfax	State	CA	Zip	94930	Country	U.S.A.
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Additional inventors are being named on supplemental sheet(s) attached hereto



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DECLARATION					ADDITIONAL INVENTOR(S) Supplemental Sheet			
<b>Name of Additional Joint Inventor, if any:</b>					<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name	Peter	Middle Initial	C.	Family Name	Hart	Suffix		e.g. Jr.
Inventor's Signature					Date	May 25, 1999		
Residence: City	San Rafael	State	CA	Country	U.S.A.	Citizenship	Canadian	
Mailing Address	53 Oakdale Avenue							
Mailing Address								
City	San Rafael	State	CA	Zip	94901	Country	U.S.A.	
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Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
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<b>Name of Additional Joint Inventor, if any:</b>					<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name		Middle Initial		Family Name		Suffix		e.g. Jr.
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		
<b>Name of Additional Joint Inventor, if any:</b>					<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name		Middle Initial		Family Name		Suffix		e.g. Jr.
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		
<input type="checkbox"/> Additional inventors are being named on supplemental sheet(s) attached hereto								



Rev. 05/19/99

BEST AVAILABLE COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-1106)

In re Application of: )  
)  
Friesen et al. )  
) Group Art Unit: 3624  
Serial No.: 09/289,550 )  
) Examiner: Kyle  
Filed: April 9, 1999 )  
)  
For: User Interface for an Electronic Trading )  
System )

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

POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST  
(REVOCATION OF PRIOR POWERS)

As assignee of record of the entire interest of the above identified

- application
- patent

REVOCATION OF PRIOR POWERS OF ATTORNEY

all powers of attorney previously given are hereby revoked and

NEW POWER OF ATTORNEY

The undersigned hereby appoints all of the practitioners associated with the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and directs that all correspondence be addressed to that Customer Number:

Customer Number: **020306**  
Principal attorney or agent:  
Telephone number: 312-913-0001

I further appoint Steven F. Borsand, Registration No. 36,752, Mark W. Triplett, Registration No. 49,002 and Monika Dudek, Registration No. 47,538, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

**Assignee of Entire Interest:**

Name: Trading Technologies International, Inc.

Address: 222 South Riverside Plaza, Suite 1100, Chicago, IL 60606


EVIDENCE AND CERTIFICATION OF CHAIN OF TITLE

1. From: Richard W. Friesen and Peter C. Hart To: Epit, Inc.  
Recorded in PTO on June 4, 1999  
Reel 009994  
Frame 0472
  
2. From: Epit, Inc. To: Hitachi, Ltd  
  
Recorded in PTO on February 6, 2003  
Reel 013730  
Frame 0972
  
2. From: Hitachi, Ltd To: Trading Technologies, Inc.  
 Recorded herewith.

**ASSIGNEE CERTIFICATION**

In accordance with 37 C.F.R. § 3.73 the assignee hereby certifies that the evidentiary documents with respect to its ownership have been reviewed and that, to the best of assignee's knowledge and belief, title is in the assignee seeking to take this action.

Date: 12-23-03

  
\_\_\_\_\_  
Signature

Name: Steven F. Borsand  
Title: Vice President, Intellectual Property of Trading  
Technologies International, Inc

**ASSIGNMENT**

Case No.: 369992.106

Serial No.: 09/289,550

Inventors: Richard W. Friesen and Peter C. Hart

Date of Execution of Application: 5/20/99 and 5/25/99

Filing Date: April 9, 1999

In consideration of One Dollar (\$1.00) and other good and valuable considerations in hand paid, the receipt and sufficiency whereof are hereby acknowledged, the Hitachi, Ltd. hereby assigns to:

**Trading Technologies International, Inc., a corporation of the State of Delaware**

its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in an application for Letters Patent of the United States, having U.S. Patent Application No. 09/289,550 entitled:

**User Interface for an Electronic Trading System**

naming Richard W. Friesen and Peter C. Hart as inventors and identified as:

**Case No. 36992.106**

in the offices of Squire, Sanders and Dempsey L.L.P. and in said application and any and all other applications, both United States and foreign, which the undersigned may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained on any of said applications, and in any reissue or extension of such patents, and further assigns to said assignee the priority right provided by the International Convention.

The undersigned hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said assignee.

The undersigned hereby authorize and request the attorneys of record in said application to insert in this assignment the filing date and serial number of said application when officially known, and the date of execution of the application.

The undersigned warrant themselves to be the owners of the entire right, title and interest in said invention or improvements and to have the right to make this assignment, and further warrant that there are no outstanding prior assignments, licenses, or other encumbrances on the interest herein assigned, except for non-exclusive licenses given to Hitachi, Ltd., its current and future subsidiaries, and its pre-existing cross licensees.

For said considerations the undersigned hereby agree, upon the request and at the expense of said assignee, its successors and assigns, to execute any and all divisional, continuation and substitute applications for said invention or improvements, and any necessary oath, affidavit or declaration relating thereto, and any application for the reissue or extension of any Letters Patent that may be granted upon said application and any and all applications and other documents for Letters Patent in foreign countries on said invention or improvements, that said assignee, its successors or assigns may deem necessary or expedient,

and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper.

Agreed To:



Hitachi, Ltd. Yasuo SAKUTA, Patent Attorney  
Executive Officer,  
Intellectual Property Group  
(Authorized Signing Officer)

November 19, 2003

Date: \_\_\_\_\_

**ASSIGNMENT**

Case No.: 369992.106

Serial No.: 09/289,550

Inventors: Richard W. Friesen and Peter C. Hart

Date of Execution of Application: 5/20/99 and 5/25/99

Filing Date: April 9, 1999

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**User Interface for an Electronic Trading System**

naming Richard W. Friesen and Peter C. Hart as inventors and identified as:

**Case No. 36992.106**

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and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper.

WITNESS my hand and seal this 19 day of Nov. 2003

  
\_\_\_\_\_  
Hitachi, Ltd.  
Name: Takahito Karasawa  
Title: Manager, Intellectual Property Group

State of

County of

The foregoing instrument was acknowledged before me this \_\_\_\_ day of

\_\_\_\_, \_\_\_\_ by

\_\_\_\_\_  
NOTARY PUBLIC



2 3

**ASSIGNMENT**

Case No.: 369992.106

Serial No.: 09/289,550

Inventors: Richard W. Friesen and Peter C. Hart

Date of Execution of Application: 5/20/99 and 5/25/99

Filing Date: April 9, 1999

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**Trading Technologies International, Inc., a corporation of the State of Delaware**

its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in an application for Letters Patent of the United States, having U.S. Patent Application No. 09/289,550 entitled:

User Interface for an Electronic Trading System

naming Richard W. Friesen and Peter C. Hart as inventors and identified as:

**Case No. 36992.106**

in the offices of Squire, Sanders and Dempsey L.L.P. and in said application and any and all other applications, both United States and foreign, which the undersigned may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained on any of said applications, and in any reissue or extension of such patents, and further assigns to said assignee the priority right provided by the International Convention.

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and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper.

Agreed To:



Hitachi, Ltd. Yasuo SAKUTA, Patent Attorney  
Executive Officer,  
Intellectual Property Group  
(Authorized Signing Officer)

November 19, 2003

Date: \_\_\_\_\_

**ASSIGNMENT**

Case No.: 369992.106

Serial No.: 09/289,550

Inventors: Richard W. Friesen and Peter C. Hart

Date of Execution of Application: 5/20/99 and 5/25/99

Filing Date: April 9, 1999

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naming Richard W. Friesen and Peter C. Hart as inventors and identified as:

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and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper.

WITNESS my hand and seal this 19 day of Nov. 2003



\_\_\_\_\_  
Hitachi, Ltd.  
Name: Takahito Karasawa  
Title: Manager, Intellectual Property Group

State of

County of

The foregoing instrument was acknowledged before me this \_\_\_\_ day of  
\_\_\_\_, \_\_\_\_ by

\_\_\_\_\_  
NOTARY PUBLIC

**Application Data Sheet**

**Application Information**

Application Type:: Regular  
Subject Matter:: Utility  
Suggested Classification:: None  
Suggested Group Art Unit:: None  
CD-Rom or CD-R? No  
Title:: User Interface for an Electronic Trading  
Trading System  
Attorney Docket Number:: 03-1106-Z  
Request for Early Publication?:: No  
Request for Non-Publication?:: No  
Suggested Drawing Figure:: None  
Total Drawing Sheets:: 14  
Small Entity:: No  
Petition Included?:: No  
Secrecy Order in Parent Appl.?:: No

**Applicant Information**

Applicant Authority type:: Inventor  
Primary Citizenship Country:: United States of America  
Status:: Full Capacity  
Given Name:: Richard W.  
Family Name:: Friesen  
City of Residence:: Fairfax  
State of Residence:: CA  
Country of Residence:: United States of America  
Street of mailing address:: 132 Ridge Rd  
City of mailing address:: Fairfax  
State or Province of mailing address:: CA

Postal or Zip Code of mailing address:: 94930

Applicant Authority type:: Inventor  
Primary Citizenship Country:: United States of America  
Status:: Full Capacity  
Given Name:: Peter C.  
Family Name:: Hart  
City of Residence:: San Rafael  
State of Residence:: CA  
Country of Residence:: United States of America  
Street of mailing address:: 53 Oakdale Avenue  
City of mailing address:: San Rafael  
State or Province of mailing address:: CA  
Postal or Zip Code of mailing address:: 94901

**Correspondence Information**

Correspondence Customer Number:: 39310

**Representative Information**

Representative Customer Number::	39310
----------------------------------	-------

**Domestic Priority Information**

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	Continuation	09/289,550	April 9, 1999

**Assignee Information**

Assignee Name:: Trading Technologies International, Inc.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875					Application or Docket Number <b>11417522</b>				
<b>APPLICATION AS FILED – PART I</b> (Column 1) (Column 2)					<b>SMALL ENTITY</b>		<b>OTHER THAN SMALL ENTITY</b>		
FOR	NUMBER FILED	NUMBER EXTRA			RATE (\$)	FEE (\$)	RATE (\$)	FEE (\$)	
BASIC FEE (37 CFR 1.16(a), (b), or (c))								<b>300</b>	
SEARCH FEE (37 CFR 1.16(k), (l), or (m))								<b>500</b>	
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))								<b>200</b>	
TOTAL CLAIMS (37 CFR 1.16(i))	<b>58</b>	minus 20 =		<b>38</b>	X\$25=		X\$50	<b>1900</b>	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	<b>12</b>	minus 3 =		<b>9</b>	X\$100=		X\$200=	<b>1800</b>	
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR								
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))					N/A		N/A		
* If the difference in column 1 is less than zero, enter "0" in column 2.					<b>TOTAL</b>		<b>TOTAL</b>	<b>4700</b>	
<b>APPLICATION AS AMENDED – PART II</b> (Column 1) (Column 2) (Column 3)					<b>SMALL ENTITY</b>		<b>OTHER THAN SMALL ENTITY</b>		
<b>AMENDMENT A</b>		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X =		X =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X =		X =	
	Application Size Fee (37 CFR 1.16(s))								
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					N/A		N/A	
					<b>TOTAL</b>		<b>TOTAL</b>		
					<b>ADD'T FEE</b>		<b>ADD'T FEE</b>		
<b>AMENDMENT B</b>		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X =		X =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X =		X =	
	Application Size Fee (37 CFR 1.16(s))								
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					N/A		N/A	
					<b>TOTAL</b>		<b>TOTAL</b>		
					<b>ADD'T FEE</b>		<b>ADD'T FEE</b>		

\* If the entry in column 1 is less than the entry in column 2, write "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.

This collection of information is required by 37 CFR 1.16. 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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