

UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE PATENT TRIAL AND APPEAL BOARD

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

v.

TRADING TECHNOLOGIES INTERNATIONAL, INC.,  
Patent Owner.

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CBM2016-00031 (Patent 7,813,996 B2)  
CBM2016-00032 (Patent 7,212,999 B2)  
CBM2016-00051 (Patent 7,904,374 B2)<sup>1</sup>

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Before SALLY C. MEDLEY and MEREDITH C. PETRAVICK,  
*Administrative Patent Judges.*

PETRAVICK, *Administrative Patent Judge.*

ORDER  
*Oral Argument*  
37 C.F.R. § 42.70

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<sup>1</sup> This Order addresses the same or similar issue in the proceedings listed above. Therefore, we issue one Order to be filed in each proceeding. The parties, however, are not authorized to use this style of filing.

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The Scheduling Orders in these proceedings provide for an oral hearing if an oral hearing is requested by the parties and granted by the panel. Petitioners and Patent Owner requested oral hearing pursuant to 37 C.F.R. § 42.70. The requests are *granted*.

The hearing will commence at **1:30 p.m. Eastern Time on May 3, 2017**, on the ninth floor of Madison Building East, 600 Dulany Street, Alexandria, Virginia.

The Board will provide a court reporter for the hearing and the reporter's transcript will constitute the official record of the hearing.

#### *Schedule of Arguments*

The patents at issue in CBM2016-00031 and CBM2016-00051 are related in that they each claim priority to U.S. Patent No. 6,772,132. Arguments in these proceedings are consolidated, and each party will have 60 minutes total time to present arguments.

Arguments for CBM2016-00032 are not consolidated with arguments for any other proceeding. Each party will have 30 minutes total time to present arguments.

Arguments for CBM2016-00031 and CBM2016-00051 will be heard first.

#### *Order of Arguments*

Petitioners bear the ultimate burden of proof that the challenged claims are unpatentable. Petitioners will open each hearing by presenting its arguments regarding the challenged claim for which we instituted trial. Thereafter, Patent Owner will argue its opposition to Petitioners' arguments. Petitioners may reserve time to rebut Patent Owner's opposition.

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*Prohibition of New Arguments or Evidence*

**The parties are not permitted to raise new arguments or evidence at oral hearing.** *Office Patent Trial Practice Guide*, 77 Fed. Reg. 48,756, 48,768 (Aug. 14, 2012). Any new arguments or evidence will not be considered.

*Demonstratives*

Demonstrative exhibits are intended to be visual aids to assist a party in making its oral presentation. *CBS Interactive Inc. v. Helferich Patent Licensing, LLC*, Case No. IPR2013-00033, slip op. at 3, (PTAB Oct. 23, 2013)(Paper 118). Demonstrative exhibits are not evidence and as such, the exhibits cannot add new evidence to the record of the proceeding. *St. Jude Medical, Cardiology Division, Inc. v. The Board of Regents of the University of Michigan*, Case No. IPR2013-00041, slip op. at 2 (PTAB Jan. 27, 2014) (Paper 65). Demonstrative exhibits are not an opportunity for additional briefing. *Id.* at 3. Arguments that have not been made previously cannot be made at the trial hearing, and thus, cannot be in a demonstrative exhibit. *Id.* Similarly, the exhibits cannot rely on evidence that, although it is in the record, was never specifically discussed in any substantive paper before the Board. *Id.*

**Demonstrative exhibits are limited to reproduction of portions of papers of record or portions of the evidence specifically discussed in the substantive papers of record. Demonstrative exhibits must include a citation to where the reproduced portion of the paper is in the record or to where the evidence is discussed in a substantive paper in the record.**

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### *Objections to Demonstratives*

Under 37 C.F.R. § 42.70(b), the parties shall serve any demonstrative exhibits upon each other at least five business days prior to the hearing. The parties shall file the demonstrative exhibits at least two business days prior to the hearing.

We expect that the parties will meet and confer in good faith to resolve all objections to demonstrative exhibits, but if such objections cannot be resolved, the parties may file objections to demonstratives with the Board no later than two business days before the hearing. The objections should identify with particularity which portions of the demonstrative exhibits are subject to objection, include a copy of the objected-to portions, and include a one-sentence statement of the reason for each objection. No argument or further explanation is permitted. We will consider any objections and schedule a conference call if deemed necessary. Otherwise, we will reserve ruling on the objections. Any objection to demonstrative exhibits that is not timely filed will be considered waived.

### *Counsel*

Lead counsel for each party is expected to be present in person at the oral hearing. Any counsel of record, however, may present the party's arguments. If either party expects that its lead counsel will not be attending the oral argument, the parties should initiate a joint telephone conference with the panel no later than two business days prior to the oral hearing to discuss the matter.

Each party will designate one or two counsel to present consolidated arguments for CBM2016-00031 and CBM2016-00051, and one or two

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counsel to present arguments for CBM2016-00032. Only designated counsel may make objections or otherwise address the panel during the oral hearing. The designated counsel may seek permission from the panel for other counsel of record to address the panel, if necessary.

#### *Special Requests*

Any special requests for audio visual equipment or reserved seating should be directed to [Trials@uspto.gov](mailto:Trials@uspto.gov). Request for special equipment or reserved seating will not be honored unless presented in a separate communication directed to the above email address not less than five days before the hearing.

#### *Public Attendance*

The hearing will be open to the public for in-person attendance that will be accommodated on a first-come, first served basis. The records of these proceedings include confidential information subject to a protective order. The parties should avoid disclosing confidential information in its demonstratives or oral arguments. If the parties have any concern about disclosing confidential information, they should contact the Board at least two days in advance of the hearing to discuss the matter.

It is so ORDERED.

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