IN THE UNITED STATES DISTRICT COURT FOR THE EASTERN DISTRICT OF TEXAS TYLER DIVISION

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COMPLAINT FOR PATENT INFRINGEMENT

Plaintiff Publishing Technologies, LLC ("Plaintiff" or "PT"), by and through its attorneys, files this Complaint against Capitol One Investing, LLC ("Defendant" or "COI") for infringement of United States Patent Nos. 7,908,342 ("the '342 Patent").

PARTIES AND JURISDICTION

- 1. This is an action for patent infringement under Title 35 of the United States Code. Plaintiff is seeking injunctive relief as well as damages.
- 2. Jurisdiction is proper in this Court pursuant to 28 U.S.C. §§ 1331 (Federal Question) and 1338(a) (Patents) because this is a civil action for patent infringement arising under the United States patent statutes.
- 3. Plaintiff is a Texas limited liability company with its office located at 825 Watters Creek Blvd., Bldg. M, Suite 250, Allen, TX 75013.
- 4. Upon information and belief, Defendant is a limited liability company headquartered in McLean, Virginia with an address at 1750 Tysons Blvd., 12th Floor, McLean, VA 22102. This Court has personal jurisdiction over Defendant because Defendant has

committed, and continues to commit, acts of infringement in this District, has conducted business in this District, and/or has engaged in continuous and systematic activities in this District.

5. Upon information and belief, Defendant's instrumentalities that are alleged herein to infringe were and continue to be used, imported, offered for sale, and/or sold in this District.

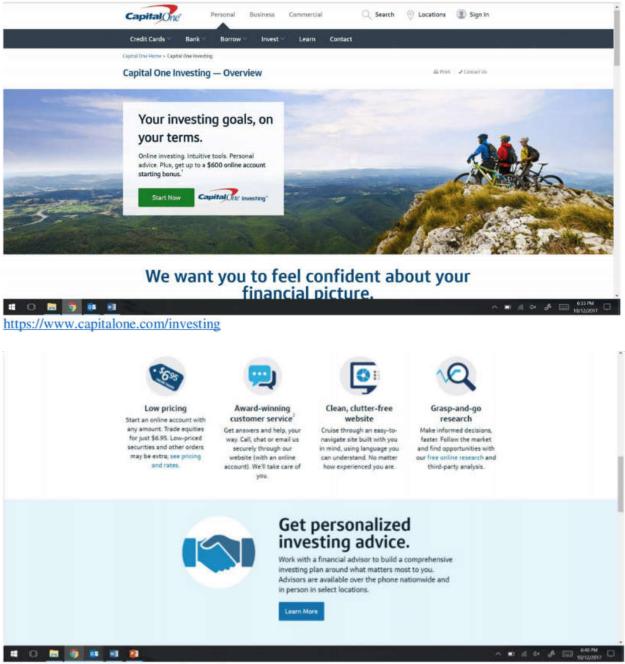
VENUE

6. On information and belief, venue is proper in the Eastern District of Texas pursuant to 28 U.S.C. §§ 1391(c) and 1400(b). Defendant is deemed to reside in this district under § 1391(c) because Defendant is not a domestic corporation and is subject to personal jurisdiction in this District. Further, or in the alternative, under § 1400(b), acts of infringement are occurring in this District. And, Defendant has a regular and established place of business in this District. For example, on information and belief, Defendant has a regular and established place of business in Plano, TX. Defendant's website at https://www.capitaloneinvesting.com/main/contact-us.aspx indicates a contact address of PO Further, Box 259008, Plano, TX75025. Defendant's website at https://www.capitaloneinvesting.com/a/main/guidance/our-advisors-branch indicates that customers may meet with Defendant's investment advisors by "in-person appointments and at Capital One Bank branches. Capital One Bank branches are located throughout this District. For instance, a Capital One Bank branch is located at 100 North Bolivar St., Marshall, TX 75671. On information and belief, Defendant has other regular and established places of business within this District.

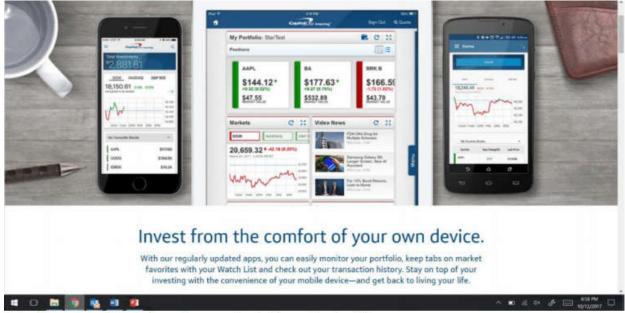
COUNT I

(INFRINGEMENT OF UNITED STATES PATENT NO. 7,908,342)

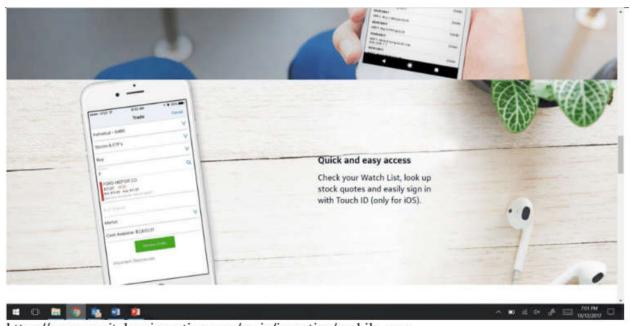
- 7. Plaintiff incorporates paragraphs 1 through 6 herein by reference.
- 8. This cause of action arises under the patent laws of the United States and, in particular, under 35 U.S.C. §§ 271, et seq.
- 9. Plaintiff is the owner by assignment of the '342 Patent with sole rights to enforce the '342 Patent and sue infringers.
- 10. A copy of the '342 Patent, titled "Method, apparatus and system for management of information content for enhanced accessibility over wireless communication networks," is attached hereto as Exhibit A.
- 11. The '342 Patent is valid, enforceable, and was duly issued in full compliance with Title 35 of the United States Code.
- 12. Upon information and belief, Defendant has infringed and continues to infringe one or more claims, including at least Claim 17, of the '342 Patent by making, using, importing, selling, and/or offering for sale an online trading platform and system, which is covered by one or more claims of the '342 Patent. Defendant has infringed and continues to infringe the '342 Patent directly in violation of 35 U.S.C. § 271.
- 13. Regarding Claim 17, Defendant provides an apparatus for use in managing information content in a network-based communication system. For example, Defendant provides an online trading platform (formerly known as Sharebuilder) ("Product") that is implemented using at least one server used in managing information content. The server is connected to the Internet, through which it communicates with computing clients such as customers' computers and mobile smartphone/tablet devices. Certain aspects of the foregoing are illustrated in the screenshots below.



https://www.capitalone.com/investing



https://www.capitaloneinvesting.com/main/investing/mobile.aspx



https://www.capitaloneinvesting.com/main/investing/mobile.aspx

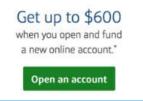
14. The Product's servers have processing elements comprising a processor coupled to a memory. The Product's servers, for example, execute instructions in response to user requests for content, order placement and dashboard configuration using a processor. Further, the Product's servers comprise a volatile memory (such as RAM) used for executing the

instructions using the processor. Further, the Product's servers also comprise a non-volatile memory that stores user preferences, order history, dashboard and portfolio information.

Certain aspects of the foregoing are illustrated in the screenshots below.

Tools to fit your investing style

Investing is personal. We want you to have the tools you need to invest the way you want.



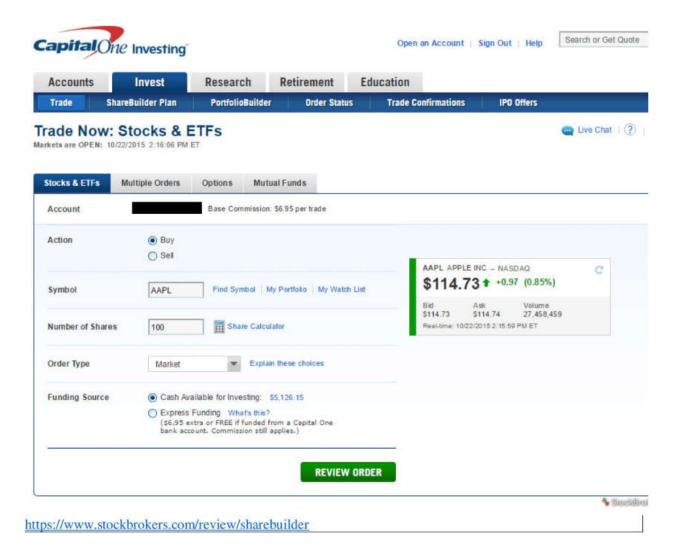


PortfolioBuilder Build a custom, diversified portfolio.

A diverse portfolio can help protect you when the market fluctuates. PortfolioBuilder¹ lets you choose up to 6-8 exchange-traded funds (ETFs) and buy them all together in one portfolio for only \$18.95. Each ETF is from a well-known fund family, and each portfolio you build will be only \$18.95 to buy. Looking to sell your entire portfolio? You'll only be charged a flat price of \$18.95 as well. And you can use it no matter what type of account you choose. Intrigued? Learn more about PortfolioBuilder.

Keep in mind, if you choose to rebalance or buy and sell individual securities in your portfolio, standard trading prices will apply (see our pricing and rates).

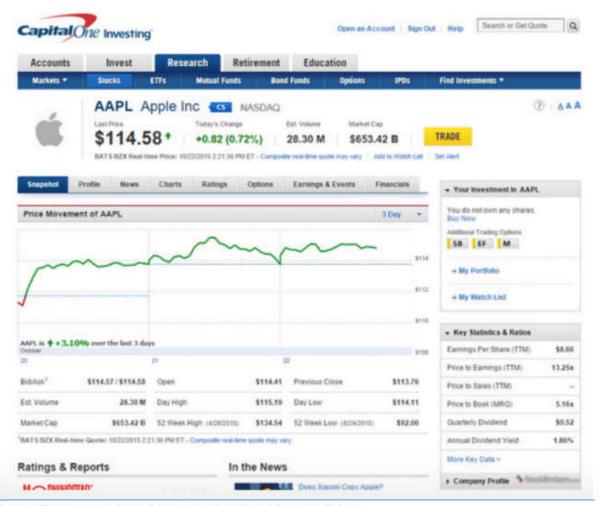
https://www.capitaloneinvesting.com/main/investing/tools.aspx



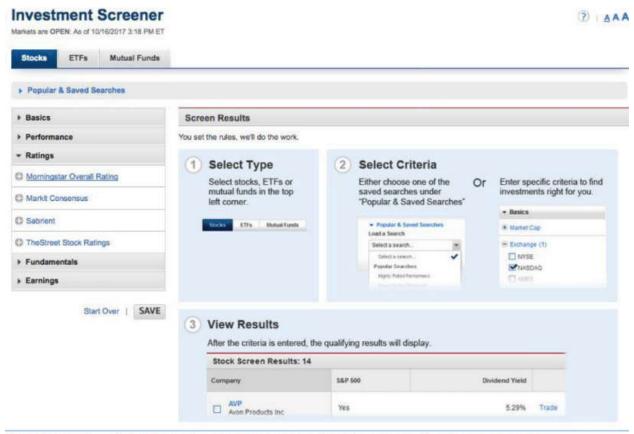
15. The processors provide at least a portion of a content management website identified by a first uniform resource locator that can be accessed over the Internet using a web browser. For example, the Product's content management website is accessible to a user and is identified by the URL https://www.capitalone.com/. The Product allows users to designate one or more stock symbols using the "full" website (the claimed "content management website") and add the stock symbols to one or more "watch lists." Once a stock symbol has been added to a watch list, a user clicks on the stock symbol via a hyperlink and accesses information associated with that stock symbol from external data sources, including but not limited to news, quotes and analysis charts associated with the stock symbol. Only stock symbols designated by the user are

added and accessible through such watch lists. Therefore, by designating one or more stock symbols to be added into watch lists on the Product's content management website, a user designates the external data sources that provide information including but not limited to news, quotes and analysis charts associated with that stock symbol. Certain aspects of the foregoing are illustrated in the screen shots below.

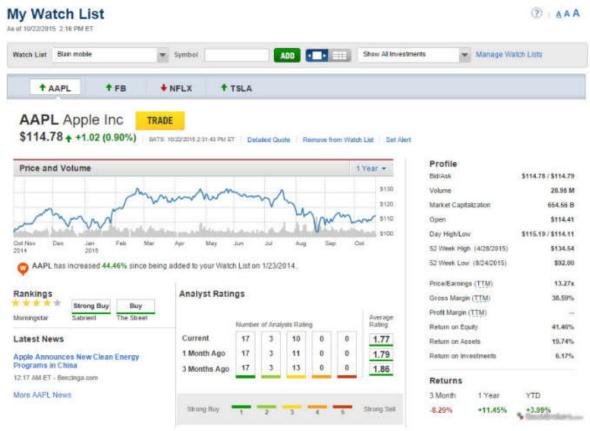
Funds aside, after pulling up Apple (AAPL) in the research area, I was pleased to see four third-party research reports available for us to read. To dig deeper into research, clients have the ability to build custom side-by-side stock comparisons and compare fundamental data. Screening for investment ideas is also a breeze.



https://www.stockbrokers.com/review/sharebuilder



https://research.capitaloneinvesting.com/research/main/findinvestments/find-buy-stocks-online



https://www.stockbrokers.com/review/sharebuilder



Sort through securities, fast.

Our Investment Screener lets you quickly search for investments that fit your strategy. Choose from popular searches, or customize a search of your own. Specify your criteria, and our Investment Screener will find qualifying stocks or funds faster than you can make a cup of coffee.

Try Investment Screener

Compare fund details with ease.

Fund Evaluator shows you key, easy-to-digest information on any no-load fund we offer. There's historical performance and expense ratio, each compared to the category average. Plus the Morningstar rating, and with one click, a lineup of similar funds that might better fit your goals. So you can make more informed decisions.







See what's hot, what's not.

Heat maps let you see what's doing well and what's not doing so well—at a glance. Keep up with the market in general as well as your portfolio and watch list. Check out popular maps, or customize a heat map to give you the quick skinny on specific securities. It's another way to stay informed without skipping a beat.

Explore Heat Maps

Find out what might have been.

Second-guessing passing up that stock? What If I Had Invested lets you see how a stock might have performed if you had invested in it. You can't go back in time and try again, but you can do a historical analysis to see how a stock has performed so far. Just remember, past performance is no guarantee of future results.



Try What If I Had Invested



Check out interactive charts.

Quickly and easily see the data you want, how you want with customizable, interactive charts. View data as far back as up to 20 years ago (as long as it's available, of course). Choose your chart style, compare investments and more. Zoom in, zoom out—zero in on the data you want to see and make the most of your time.

Dive into an interactive chart

Quickly find investments that fit your approach.



Compare Investments

Compare up to five securities of your choice side Build a custom, diversified portfolio of up to 6-8 by side in an easy-to-view chart.



PortfolioBuilder

exchange-traded funds (ETFs).2



Visit our IPO Center to see what's just hit the market and what's coming up.3

Easily track investments you have and ones you might want.



Tracking Alerts

Get investing information sent to your inbox and smartphone.



Market Movers

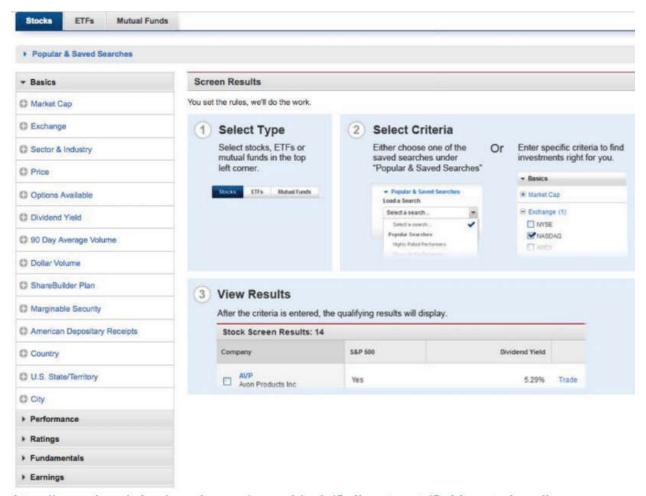
See which securities are the most active, top gainers and biggest losers for the day.



Watch Lists

Keep tabs on companies of your choice, and instantly see their key financial information.

https://www.capitaloneinvesting.com/main/research/tools.aspx



https://research.capitaloneinvesting.com/research/main/findinvestments/find-buy-stocks-online





The more you know, the better.

Fund Evaluator shows you easy-to-digest details for any no-load mutual fund or exchange-traded fund (ETF) we offer. There's historical performance and expense ratio, each compared to the category average. Plus the Morningstar rating, and with one click, a lineup of similar funds that might better fit your goals. So you can get information to make the right decision for you. Learn about our methodology.



Historical Performance

See how a fund's done, and how a past investment would have fared—including its hypothetical net return (for funds with at least a five-year history). %

Expense Ratio

Get a fund's annual expense story at a glance: the percentage itself, and how it stacks up against similar funds.



Morningstar Rating

See what the recognized fund experts think, and if the investment's a standout (either good or bad) in its category.



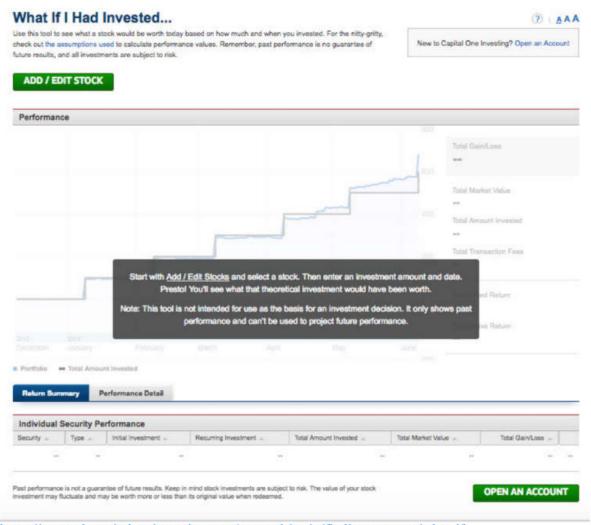
Fund Comparison

Line up any fund next to others in its category to quickly spot differences in performance, rating and other benchmarks.

https://research.capitaloneinvesting.com/research/main/FindInvestments/FundEvaluator



https://research.capitaloneinvesting.com/research/main/stock-market/heatmap



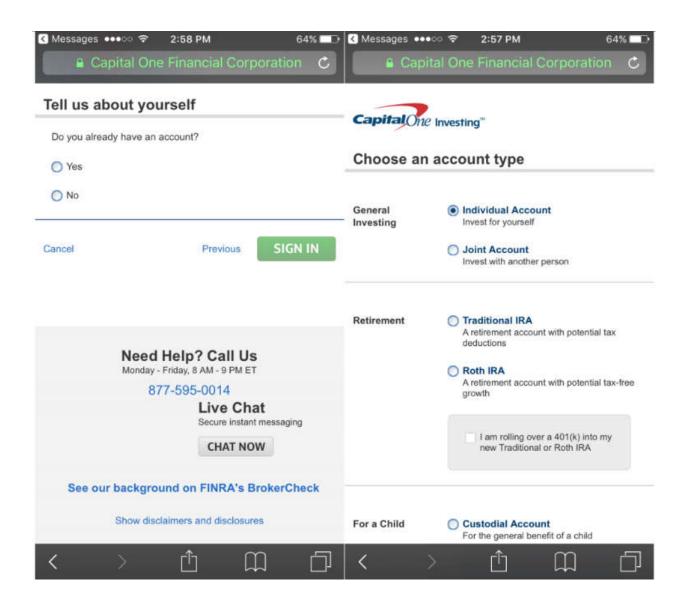
https://research.capitaloneinvesting.com/research/main/findinvestments/what-if

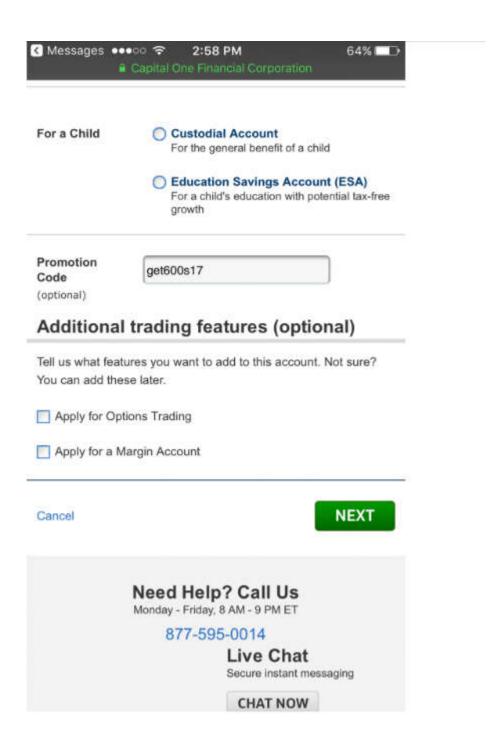


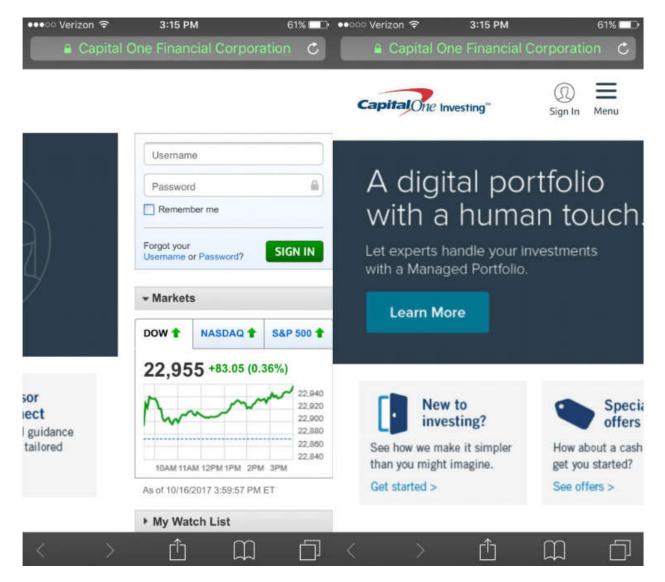
https://research.capitaloneinvesting.com/research/main/ETFs/Interactive-Charts?symbol=SPY

16. The processor also generates a mobile website identified by a second uniform resource locator different than the first uniform resource locator, the mobile web site being accessible independently of the content management web site via one or more mobile devices. For example, the Product's mobile trading platform (the claimed "mobile web site") is accessible via the URL https://content.capitaloneinvesting.com/mgdcon/jump/srch/od/, which is distinct and easily distinguished from the Capital One "full" website (the claimed "content management website") accessible via the URL https://www.capitaloneinvesting.com/a/main. Users access the mobile web trading platform using a mobile browser application installed on their mobile devices. The Product's mobile web trading platform is thus accessible independently of the "full"

website. Further, the watch lists, stock symbols designated by the user to be added in the watch lists, and the information including but not limited to news, quotes and analysis charts associated with the designated stock symbols are also made accessible to the user via the mobile web trading platform (the claimed "mobile web site"). Further, the mobile web trading platform (the claimed "mobile web site") receives the information including, but not limited to, news, quotes and analysis charts associated with the designated stock symbols directly from the external data sources that provide the aforementioned information. These external data sources include at least one or more news publishers (for news and articles), stock exchange servers (for price quotes) and Defendant and/or third party servers that process and store historical prices and analyst research (for charts), each of which are external to the "full" website and external to the mobile web trading platform. Certain aspects of the foregoing are illustrated in the screenshots below.







17. Additionally, to the extent users access the trading platform not through the mobile web trading platform (using a mobile web browser installed on their mobile device), but instead through one of a plurality of mobile apps offered by Defendant, these mobile apps also practice the claim limitation under doctrine of equivalents. The mobile apps are applications that can be installed on a user's Android/iOS mobile device much like a mobile browser – and provide an interface for the user to view the same stock symbols and the associated information from external data sources as described above. Upon information and belief, the interface is generated at least in part using information received from the same URLs as the mobile web

trading platform. Defendant offers at least the following such mobile apps each for Android and iOS mobile devices:

- Capital One Investing for Android

(https://play.google.com/store/apps/details?id=ShareBuilderMobile.android)

- Capital One Investing for iPhone iOS

(https://itunes.apple.com/us/app/sharebuilder-mobile/id369571913)

- Capital One Investing for iPad iOS

(https://itunes.apple.com/us/app/sharebuilder-mobile/id575621429)

The following screenshots from the Capital One Investing for iPhone iOS as an exemplary mobile app show the interface provided to the user for viewing stock symbols designated in one or more watch lists and the associated information such as news, quotes and charts received directly from external data sources.



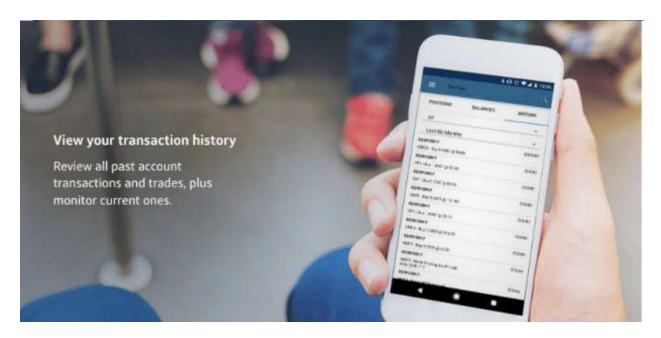
Invest from the comfort of your own device.

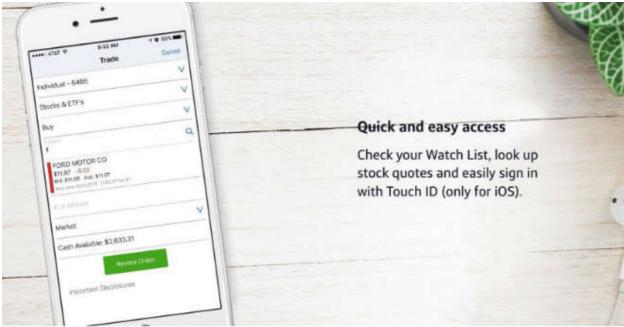
With our regularly updated apps, you can easily monitor your portfolio, keep tabs on market favorites with your Watch List and check out your transaction history. Stay on top of your investing with the convenience of your mobile device—and get back to living your life.



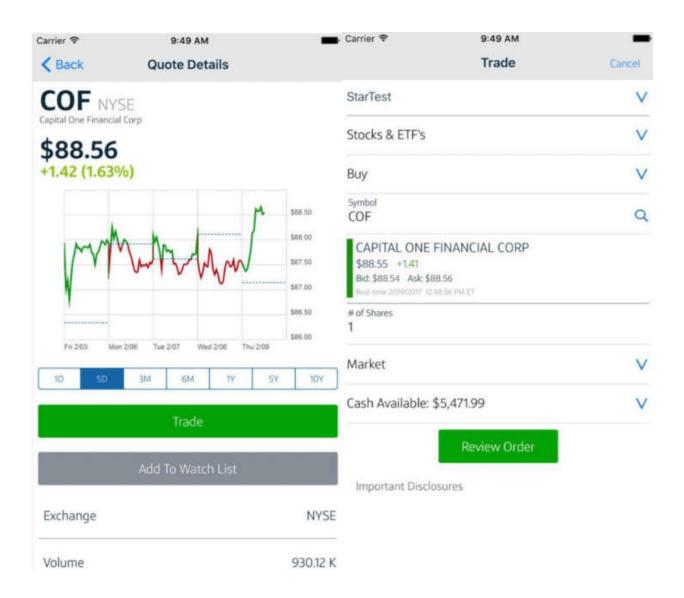
https://content.capitaloneinvesting.com/MgdCon/Mobile/

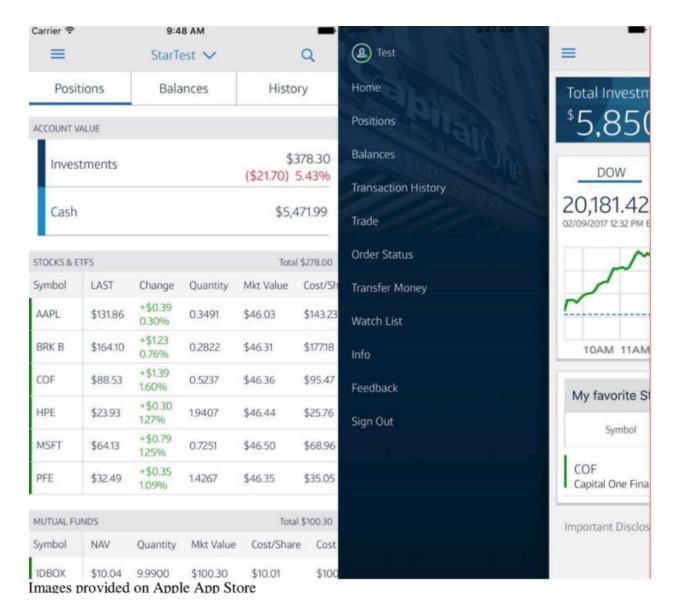






https://content.capitaloneinvesting.com/MgdCon/Mobile/





- 18. Defendant's actions complained of herein will continue unless Defendant is enjoined by this court.
- 24. Defendant's actions complained of herein are causing irreparable harm and monetary damage to Plaintiff and will continue to do so unless and until Defendants are enjoined and restrained by this Court.
 - 25. Plaintiff is in compliance with 35 U.S.C. § 287.

PRAYER FOR RELIEF

WHEREFORE, Plaintiff asks the Court to:

- (a) Enter judgment for Plaintiff on this Complaint on all causes of action asserted herein;
- (b) Award Plaintiff past and future damages, costs, and expenses resulting from Defendant's infringement in accordance with 35 U.S.C. § 284;
 - (c) Award Plaintiff pre-judgment and post-judgment interest and costs; and
- (d) Award Plaintiff such further relief to which the Court finds Plaintiff entitled under law or equity.

Dated: October 25, 2017 Respectfully submitted,

/s/Jay Johnson

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State Bar No. 24067322

D. BRADLEY KIZZIA
State Bar No. 11547550

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ATTORNEYS FOR PLAINTIFF

EXHIBIT A