(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization
International Bureau

(43) International Publication Date
12 April 2001 (12.04.2001)

PCT

(10) International Publication Number
WO 01/26003 A1

(51) International Patent Classification[7]: G06F 17/60

(21) International Application Number: PCT/US00/27414

(22) International Filing Date: 5 October 2000 (05.10.2000)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:

60/157,987	6 October 1999 (06.10.1999)	US
09/413,270	6 October 1999 (06.10.1999)	US
09/413,150	6 October 1999 (06.10.1999)	US

(71) Applicant: GOLDMAN SACHS & CO. [US/US]; One New York Plaza, New York, NY 10004 (US).

(71) Applicants and
(72) Inventors: SILVERMAN, Andrew, F. [US/US]; 22 Wind Hill Way, Holmdel, NJ 07733 (US). LAVICKA, Matthew [US/US]; Apartment 7D, 2166 Broadway, New York, NY 10024 (US). NGAI, David, W. [US/US]; 1737 Benson Avenue, Brooklyn, NY 11214 (US).

(74) Agent: KINCART, Joseph, P.; Clifford Chance Rogers & Wells LLP, 200 Park Avenue, New York, NY 10166 (US).

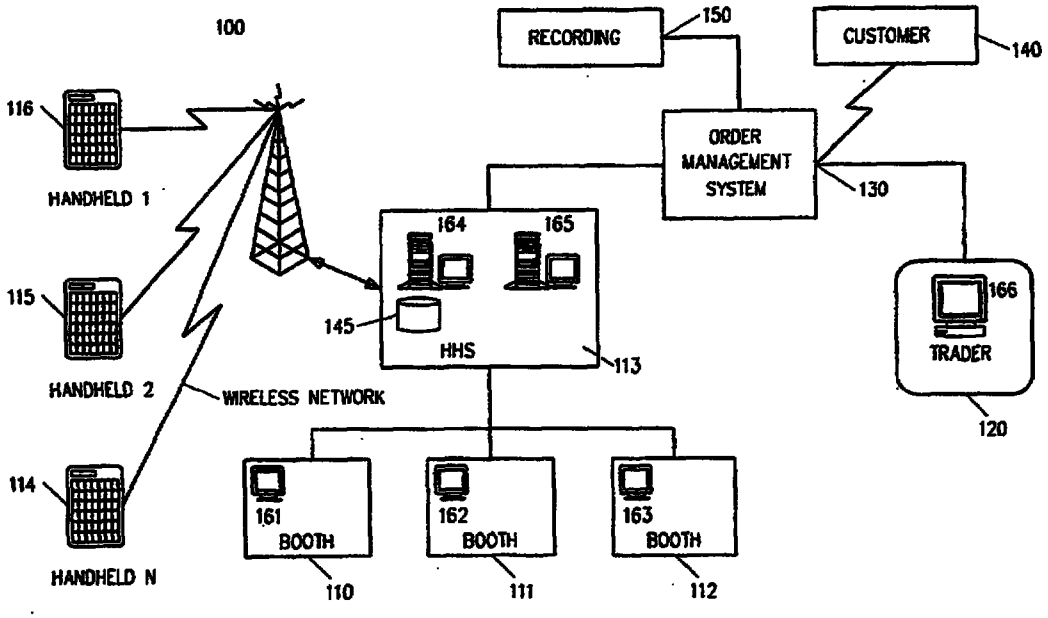
(81) Designated States *(national)*: AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZW.

(84) Designated States *(regional)*: ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

Published:
— *With international search report.*

[Continued on next page]

(54) Title: ORDER CENTRIC TRACKING SYSTEM AND PROTOCOL FOR COMMUNICATIONS WITH HANDHELD TRADING UNITS



(57) Abstract: A computerized method and system for tracking orders implemented on a trading floor exchange is disclosed. The system is order-centric and is configured to route orders to a booth (110) and floor broker in accordance with a symbol associated with the particular security being traded. Floor brokers communicate with the trading system through handheld devices (114-116) connected to a handheld server (113) via a wireless interface. A specific protocol for communication between the handheld devices and the handheld server is also disclosed.

WO 01/26003 A1

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.