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.
14/816,931	08/14/2018	10050988	SP1P012A	1044

127962 7590 07/25/2018

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

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 Application Assistance Unit (AAU) of the Office of Data Management (ODM) at (571)-272-4200.

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

Brett M. Oliphant, Plano, TX;
SecurityProfiling, LLC, Garland, TX;
John P. Blignaut, West Lafayette, IN;

The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The USA offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to encourage and facilitate business investment. To learn more about why the USA is the best country in the world to develop technology, manufacture products, and grow your business, visit SelectUSA.gov.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P0012A

	5	20040148520		2004-07-29	Talpade et al.	
	6	20050193430		2005-09-01	Cohen et al.	
	7	20050216957		2005-09-29	Benzhof et al.	
	8	20060041936		2006-02-23	Anderson et al.	
	9	20080047016		2008-02-21	Spoonamore, Stephen	
	10	20080127349		2008-05-29	Ormazabal et al.	
	11	20080222724		2008-09-11	Ormazabal et al.	
	12	20090077666		2009-03-19	Chen et al.	
	13	20100218256		2010-08-26	Thomas et al.	
	14	20100241478		2010-09-23	Sahinoglu; Mehmet	
Change(s) applied to document. /J.H/ 7/17/2018	15	20110138036		06/2011 ~~2001-06-09~~	Tyree, David S.	

EFS Web 2.1.17

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

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)

127962 7590 06/19/2018
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

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.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	~~SMALL~~ LARGE	~~$300~~ $1000	$0	$0	~~$500~~ $1000	09/19/2018

EXAMINER	ART UNIT	CLASS-SUBCLASS
HERZOG, MADHURI R	2438	726-025000

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 Patrick E. Caldwell, Esq.
2 The Caldwell Firm, LLC
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: SecurityProfiling, LLC

(B) RESIDENCE: (CITY and STATE OR COUNTRY): Garland, TX

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 credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. **Change in Entity Status** (from status indicated above)
- ☐ Applicant certifying micro entity status. See 37 CFR 1.29 — NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
- ☐ Applicant asserting small entity status. See 37 CFR 1.27 — NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
- ☒ Applicant changing to regular undiscounted fee status. — NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature /George Gordon/ Date 3 July 2018

Typed or printed name George Gordon Registration No. 64,517

PTOL-85 Part B (10-13) Approved for use through 10/31/2013. OMB 0651-0033 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Electronic Patent Application Fee Transmittal

Application Number:	14816931
Filing Date:	03-Aug-2015
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Filer:	George Andrew Gordon
Attorney Docket Number:	SP1P012A

Filed as Large Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
UTILITY APPL ISSUE FEE	1501	1	1000	1000

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension-of-Time:				
Miscellaneous:				
			Total in USD ($)	**1000**

Electronic Acknowledgement Receipt	
EFS ID:	33087382
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	George Andrew Gordon
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	03-JUL-2018
Filing Date:	03-AUG-2015
Time Stamp:	23:00:33
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	$1000
RAM confirmation Number	070518INTEFSW23011300
Deposit Account	
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Issue Fee Payment (PTO-85B)	SP1P012A_IssueFee_XMTL_07(318.pdf	128678 18b62b4e2fd535dcf4b3be9903c653bd7ef bb228	no	1
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30375 753082dcf4d4c0cd6435482445f9ac29b19e cb3e	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	159053		

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.

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Alexandria, Virginia 22313-1450
www.uspto.gov

NOTICE OF ALLOWANCE AND FEE(S) DUE

127962 7590 06/19/2018

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	
ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 06/19/2018

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$500	$0	$0	$500	09/19/2018

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 ENTITY STATUS shown above. If the ENTITY STATUS is shown as SMALL or MICRO, verify whether entitlement to that entity status still applies.

If the ENTITY STATUS is the same as shown above, pay the TOTAL FEE(S) DUE shown above.

If the ENTITY STATUS is changed from that shown above, on PART B - FEE(S) TRANSMITTAL, complete section number 5 titled "Change in Entity Status (from status indicated above)".

For purposes of this notice, small entity fees are 1/2 the amount of undiscounted fees, and micro entity fees are 1/2 the amount of small entity fees.

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: Maintenance fees are due in utility patents issuing on applications filed on or after Dec. 12, 1980. It is patentee's responsibility to ensure timely payment of maintenance fees when due. More information is available at www.uspto.gov/PatentMaintenanceFees.

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PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: Mail **Mail Stop ISSUE FEE**
Commissioner for Patents
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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)

127962 7590 06/19/2018
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

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.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$500	$0	$0	$500	09/19/2018

EXAMINER	ART UNIT	CLASS-SUBCLASS
HERZOG, MADHURI R	2438	726-025000

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 _____
2 _____
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 (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

4a. The following fee(s) are submitted:
- ❑ Issue Fee
- ❑ Publication Fee (No small entity discount permitted)
- ❑ Advance Order - # of Copies _____

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- ❑ 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 credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. **Change in Entity Status** (from status indicated above)
- ❑ Applicant certifying micro entity status. See 37 CFR 1.29 — NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
- ❑ Applicant asserting small entity status. See 37 CFR 1.27 — NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
- ❑ Applicant changing to regular undiscounted fee status. — NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

PTOL-85 Part B (10-13) Approved for use through 10/31/2013. OMB 0651-0033 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Page009

UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

127962 7590 06/19/2018

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	
ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 06/19/2018

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

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

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.

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OMB Clearance and PRA Burden Statement for PTOL-85 Part B

The Paperwork Reduction Act (PRA) of 1995 requires Federal agencies to obtain Office of Management and Budget approval before requesting most types of information from the public. When OMB approves an agency request to collect information from the public, OMB (i) provides a valid OMB Control Number and expiration date for the agency to display on the instrument that will be used to collect the information and (ii) requires the agency to inform the public about the OMB Control Number's legal significance in accordance with 5 CFR 1320.5(b).

The information collected by PTOL-85 Part B 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. 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.

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.

Notice of Allowability	Application No. 14/816,931	Applicant(s) OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	AIA (First Inventor to File) Status No

-- 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 *01/29/2018*.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on_____.
2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
3. ☒ The allowed claim(s) is/are *60-81*. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   Certified copies:

   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.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ 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. ☐ Notice of References Cited (PTO-892)
2. ☒ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date See Continuation Sheet
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
4. ☒ Interview Summary (PTO-413), Paper No./Mail Date *06/01/2018* .
5. ☒ Examiner's Amendment/Comment
6. ☒ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

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Continuation of Attachment(s) 2. Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date: 01/29/2018, 02/22/2018.

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DETAILED ACTION

1. The present application is being examined under the pre-AIA first to invent provisions.

2. The text of those sections of Title 35 U.S. Code not included in this section can be found in the prior office action.

3. The prior office actions are incorporated herein by reference. In particular, the observations with respect to claim language, and response to previously presented arguments.

4. Claims 1-59 have been cancelled.

5. Claims 60-81 have been newly added.

6. Claims 60-81, now renumbered as claims 1-22, have been examined and are pending.

Information Disclosure Statement

7. The information disclosure statements (IDSs) submitted on 01/29/2018 and 02/22/2018 are in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statements are being considered by the examiner.

EXAMINER'S AMENDMENT

8. 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 an interview with Mr. Patrick Caldwell on 06/01/2018.

Claims 23-59. (Cancelled).

60. (New) An apparatus, comprising:

at least one data storage;

at least one platform communicatively coupled to the at least one data storage; and

at least one agent capable of being communicatively coupled to the at least one platform;

said at least one data storage configured to store data on a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities, where:

each mitigation technique is capable of mitigating an effect of an attack that takes advantage of a corresponding vulnerability, and

each mitigation technique has a mitigation type including at least one of a patch, a policy setting, or a configuration option;

said at least one platform configured to:

cause display of at least one mitigation technique for mitigating an effect of at least one attack that takes advantage of at least one vulnerability, and

allow receipt of user input for selecting the at least one mitigation technique to be applied for mitigating the effect of the at least one attack that takes advantage of the at least one vulnerability;

said at least one agent configured to identify information in connection with at least one of a plurality of devices for use in identifying an attack in connection with the at least one device that takes advantage of the at least one vulnerability, so that the at least one mitigation technique is capable of being applied;

said apparatus configured such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an operating system.

61. (New) The apparatus of Claim 60, wherein the apparatus is configured such that the at least one mitigation technique includes at least two mitigation techniques including a firewall option for preventing at least one attack packet of the attack by terminating or dropping the same, and an intrusion detection or prevention option; the apparatus is further configured such that, in response to first user input received prior to the attack, the firewall option is capable of being applied to a plurality of different devices for preventing the at least one attack packet at any of the different devices; and the apparatus is further configured such that, in response to additional user input after the attack in connection with a particular single device of the plurality of different devices, the intrusion detection or prevention option is capable of being applied to the particular single device.

62. (New) The apparatus of Claim 60, wherein the apparatus is configured such that the at least one mitigation technique includes at least two mitigation techniques including a firewall option for preventing at least one attack packet of the attack by terminating or dropping the same, and an intrusion detection or prevention option; the apparatus is further configured such that, in response to first user input prior to the attack, the intrusion detection or prevention option is capable of being applied to a plurality of different devices at the plurality of different devices; and the apparatus is further configured such that, in response to second user input after the attack in connection with a particular single device of the plurality of different devices, the firewall option is capable of being applied to the particular single device for preventing the at least one attack packet at the particular single device.

63. (New) The apparatus of Claim 60, wherein the apparatus is configured such that the one or more of the plurality of mitigation techniques is capable of being identified based on the identification of the operating system in connection the displaying of the at least one mitigation technique, so that, in order to avoid false positives, relevant vulnerabilities prompt mitigation technique user selection among at least two of the mitigation techniques, which involve both firewall and intrusion prevention system actions, for providing diverse mitigation options in connection with the relevant vulnerabilities.

64. (New) The apparatus of Claim 60, wherein the apparatus is configured such that the one or more of the plurality of mitigation techniques is capable of being identified based on the identification of the operating system prior to causing the display of the at least one mitigation technique, so that which of the one or more of the mitigation techniques that is caused to be displayed is based on one or more actual vulnerabilities to which the at least one device is actually vulnerable so that only relevant one or more mitigation techniques are displayed for selection by a user for attack mitigation.

65. (New) The apparatus of Claim 60, wherein the apparatus is configured such that the user input is capable of being received via at least one user interface of the at least one platform for different devices, for allowing different attack mitigation actions including at least one intrusion prevention action and at least one firewall action to be selectively applied to the different devices for different actual vulnerabilities determined to be actually relevant based on the identification of the operating system in connection with the different devices.

66. (New) The apparatus of Claim 60, wherein the apparatus is configured such that the at least one mitigation technique includes at least two mitigation techniques including a first mitigation technique that utilizes a firewall action and a second mitigation technique that utilizes an intrusion prevention action;

67. (New) The apparatus of Claim 66, wherein the apparatus is configured such that different user input is capable of being received via the at least one platform for different devices, for allowing different mitigation techniques including the first mitigation technique and the second mitigation technique to be selectively applied by a user to the different devices for different actual vulnerabilities, such that the different user input is capable of resulting in: only the first mitigation technique being selectively applied by the user to at least one first device, only the second mitigation technique being selectively applied by the user to at least one second device, and both the first mitigation technique and the second mitigation technique being selectively applied by the user to at least one third device.

68. (New) The apparatus of Claim 66, wherein the apparatus is configured such that the at least one mitigation technique further includes a third mitigation technique that utilizes a policy compliance action, wherein the apparatus is configured such that different user input is capable of being received via the at least one platform for different devices, for allowing different mitigation techniques including the first mitigation technique, the second mitigation technique, and the third mitigation technique to be selectively applied by a user to the different devices for different actual vulnerabilities, such that the different user input is capable of resulting in: only the first mitigation technique being selectively applied by the user to at least one first device; only the second mitigation technique being selectively applied by the user to at least one second

device; and the first mitigation technique, the second mitigation technique, and the third mitigation technique being selectively applied by the user to at least one third device.

69. (New) The apparatus of Claim 66, wherein the apparatus is configured such that the first mitigation technique is automatically applied utilizing a first communication from an integrated firewall/intrusion prevention system platform component of the at least one platform to firewall-supporting code of the at least one agent, and the second mitigation technique is automatically applied utilizing a second communication from the integrated firewall/intrusion prevention system platform component of the at least one platform to intrusion prevention system-supporting code of the at least one agent, where the firewall- supporting code and the intrusion prevention system-supporting code are part of the at least one agent.

70. (New) The apparatus of Claim 60, wherein the apparatus is configured such that the identification of the operating system is a result of a vulnerability assessment scan caused by the at least one platform.

71. (New) The apparatus of Claim 60, wherein the at least one platform includes intrusion prevention functionality for supporting a first mitigation technique and firewall functionality for supporting a second mitigation technique, such that the intrusion prevention functionality and the firewall functionality are both supported by the at least one agent that also supports the identification of the attack in connection with the at

least one device, the at least one platform further capable of receiving actual vulnerability information to conditionally display, as a function of an existence of one or more actual vulnerabilities, one or more of the plurality of mitigation techniques to allow selective utilization of the intrusion prevention functionality and the firewall functionality, so that only relevant mitigation techniques are displayed for selection to reduce false positives in connection with both the intrusion prevention functionality and the firewall functionality.

72. (New) The apparatus of Claim 60, wherein the at least one platform utilizes router-based functionality for supporting a first mitigation technique and firewall functionality for supporting a second mitigation technique.

73. (New) The apparatus of Claim 72, wherein the apparatus is configured for receiving actual vulnerability information to conditionally display, as a function of an existence of one or more actual vulnerabilities, one or more of the plurality of mitigation techniques to allow selective utilization of the router-based functionality and the firewall functionality, so that only relevant mitigation techniques are displayed for selection to reduce false positives in connection with both the router-based functionality and the firewall functionality.

74. (New) The apparatus of Claim 60, wherein at least one of:

said at least one data storage includes at least one database;

said at least one data storage is accessed utilizing an operation including at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith;

said mitigation techniques include remediation techniques;

each mitigation technique has a mitigation type including the patch;

each mitigation technique has a mitigation type including the policy setting;

each mitigation technique has a mitigation type including the configuration option;

each mitigation technique is capable of mitigating the effect of the attack that takes advantage of the corresponding vulnerability, by dropping packets associated with the attack or removing the corresponding vulnerability;

said information is capable of being used to determine an intended destination of a connection request; or

said information includes a vulnerability identifier; wherein the apparatus is operable for use with at least one network operations center (NOC) server, a data warehouse, and a software development kit (SDK) for allowing access to information associated with at least one vulnerability and at least one remediation technique; and wherein the apparatus is

operable for determining which devices have vulnerabilities by directly querying a firmware or operating system of the devices.

75. (New) An apparatus, comprising:

at least one data storage configured to store at least one data structure identifying a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities, where:

each mitigation technique is capable of mitigating an effect of an attack that takes advantage of a corresponding vulnerability, and

each mitigation technique has a mitigation type including at least one of a patch, a policy setting, or a configuration option; and

at least one platform communicatively coupled to the at least one data storage, the at least one platform configured to:

based on user selection, automatically apply at least two of the plurality of mitigation techniques including at least one first mitigation technique of a first mitigation type and at least one second mitigation technique of a second mitigation type;

receive information in connection with at least one of a plurality of devices,

identify an attack on the at least one device that takes advantage of at least one of the vulnerabilities, based on the information, and

mitigate an effect of the attack on the at least one device that takes advantage of the at least one vulnerability, based on the automatic application of

the at least two of the plurality of mitigation techniques including the at least one first mitigation technique of the first mitigation type and the at least one second mitigation technique of the second mitigation type to the at least one device;

wherein the apparatus is configured such that the at least two of the plurality of mitigation techniques are made available for the user selection, based on an identification of an operating system.

76. (New) The apparatus of Claim 75, wherein the apparatus is configured such that the at least one first mitigation technique of the first mitigation type and the at least one second mitigation technique of the second mitigation type utilize different underlying security technology types that are both supported by at least one agent that is capable of identifying the attack and preventing the attack from taking advantage of the at least one vulnerability after the at least two mitigation techniques are automatically applied.

77. (New) The apparatus of Claim 76, wherein the apparatus is configured such that the at least one agent is further capable of supporting a vulnerability assessment scan for the identification of the operating system.

78. (New) The apparatus of Claim 75, wherein the apparatus is configured such that the first mitigation technique is automatically applied utilizing a first communication from the at least one platform to firewall-supporting code of at least one agent, and the second mitigation technique is automatically applied utilizing a second communication

from the at least one platform to intrusion prevention system-supporting code of the at least one agent; wherein the at least one platform includes intrusion prevention functionality for supporting the first mitigation technique and firewall functionality for supporting the second mitigation technique, such that the intrusion prevention functionality and the firewall functionality are both supported by the at least one agent that also supports the identification of the attack in connection with the at least one device, the at least one platform further capable of receiving actual vulnerability information to conditionally make available for the user selection, as a function of an existence of one or more actual vulnerabilities, the at least two of the plurality of mitigation techniques to allow selective utilization of the intrusion prevention functionality and the firewall functionality, so that only relevant mitigation techniques are made available for the user selection to reduce false positives in connection with both the intrusion prevention functionality and the firewall functionality; wherein the apparatus is further configured such that different user selections are capable of being received for different devices, for allowing different mitigation techniques including the first mitigation technique and the second mitigation technique to be selectively applied by a user to the different devices for different actual vulnerabilities, such that the different user selections are capable of resulting in: only the first mitigation technique being selectively applied by the user to at least one first device, only the second mitigation technique being selectively applied by the user to at least one second device, and both the first mitigation technique and the second mitigation technique being selectively applied by the user to at least one third device.

79. (New) An apparatus, comprising:

means for identifying a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities associated with an operating system, where:

each mitigation technique is capable of mitigating an effect of an attack that takes advantage of a corresponding vulnerability, and

each mitigation technique has a mitigation type including at least one of a patch, a policy setting, or a configuration option;

means for:

causing display of at least two of the mitigation techniques for mitigating an effect of at least one attack that takes advantage of at least one vulnerability, and

allowing receipt of at least one user input in connection with one or more of the at least two mitigation techniques; and

means for applying the one or more of the at least two of the plurality of mitigation techniques including at least one first mitigation technique of a first mitigation type and at least one second mitigation technique of a second mitigation type to the at least one device;

said apparatus configured such that the at least two mitigation techniques are displayed based on an identification of an operating system.

80. (New) The apparatus of Claim 79, wherein the apparatus is configured such that the at least one first mitigation technique is automatically applied utilizing a first communication to firewall-supporting code, and the at least one second mitigation technique is automatically applied utilizing a second communication to intrusion prevention system-supporting code; wherein the apparatus includes intrusion prevention functionality for supporting the at least one first mitigation technique and firewall functionality for supporting the at least one second mitigation technique, such that the intrusion prevention functionality and the firewall functionality are both supported by at least one component that also supports identification of attacks in connection with the at least one device, the apparatus further capable of receiving actual vulnerability information to conditionally make available for user selection, as a function of an existence of one or more actual vulnerabilities, the at least two of the mitigation techniques to allow selective utilization of the intrusion prevention functionality and the firewall functionality, so that only relevant mitigation techniques are made available for the user selection to reduce false positives in connection with both the intrusion prevention functionality and the firewall functionality; wherein the apparatus is further configured such that different user selections are capable of being received for different devices, for allowing different mitigation techniques including the at least one first mitigation technique and the at least one second mitigation technique to be selectively applied to the different devices for different actual vulnerabilities, such that the different user selections are capable of resulting in: only the at least one first mitigation technique being selectively applied to at least one first device, only the at least one second

mitigation technique being selectively applied to at least one second device, and both the at least one first mitigation technique and the at least one second mitigation technique being selectively applied to at least one third device.

81. (New) The apparatus of Claim 60, wherein the apparatus is configured such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an application.

Allowable Subject Matter

9. Claims 60-81 are allowed over prior art of record.

Response to Arguments

10. No remarks or applicant's arguments have been filed with the RCE filed on 01/29/2018.

Examiner's Statement of Reasons for Allowance

11. The following is an examiner's statement of reasons for allowance:

Independent claims 60, 75 and 79 are allowed in view of the examiner's amendment. Claims 61-74, 76-78, 80 and 81 depend on one of the above mentioned independent claims and are therefore allowed by virtue of their dependencies.

Prior art of record Brawn teaches: a management system stores various remediation techniques corresponding to various vulnerabilities. The management

system transmits an interrogation program to the client that attempts to exploit a known vulnerability present in the software of the client, determines whether the vulnerability is exploited and transmits a remediation program if the vulnerability is exploited. Prior art Banzhof1 teaches: Constructing remediation signatures such as patches or fixes to remediate a vulnerability. IT or security personnel select which remediation signatures to deploy to client computers. Prior art of record Banzhof2 teaches displaying vulnerabilities to an administrator.

However, Brawn, Banzhof1 and Banzhof2 fail to teach “said apparatus configured such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an operating system”, i.e., the prior arts fail to teach identifying a remediation technique based on the operating system.

None of the prior art of record, either taken by itself or in any combination, would have anticipated or made obvious the invention of the present application at or before the time it was filed.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled “Comments on Statement of Reasons for Allowance.”

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MADHURI HERZOG whose telephone number is (571)270-3359. The examiner can normally be reached on M-F from 8:30am - 5:00pm.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on 571-272-3787. 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.

/MADHURI HERZOG/

Primary Examiner, Art Unit 2438

Examiner-Initiated Interview Summary	**Application No.**	**Applicant(s)**	
	14/816,931	OLIPHANT ET AL.	
	Examiner	**Art Unit**	
	MADHURI HERZOG	2438	

All participants (applicant, applicant's representative, PTO personnel):

(1) *MADHURI HERZOG.* (3)_____.

(2) *Patrick Caldwell.* (4)_____.

Date of Interview: *01 June 2018.*

Type: ☒ Telephonic ☐ Video Conference
☐ Personal [copy given to: ☐ applicant ☐ applicant's representative]

Exhibit shown or demonstration conducted: ☐ Yes ☒ No.
If Yes, brief description: _____.

Issues Discussed ☐101 ☒112 ☐102 ☐103 ☐Others
(For each of the checked box(es) above, please describe below the issue and detailed description of the discussion)

Claim(s) discussed: *23-59.*

Identification of prior art discussed: _____.

Substance of Interview
(For each issue discussed, provide a detailed description and indicate if agreement was reached. Some topics may include: identification or clarification of a reference or a portion thereof, claim interpretation, proposed amendments, arguments of any applied references etc...)

The examiner expressed her concerns regarding lack of support for the independent claims 23, 47 and 53. The attorney authorized the examiner to cancel claims 23-59 and add previously allowed claims 1-22 as claims 60-81 via an examiner's amendment .

Applicant recordation instructions: It is not necessary for applicant to provide a separate record of the substance of interview.

Examiner recordation instructions: Examiners must summarize the substance of any interview of record. A complete and proper recordation of the substance of an interview should include the items listed in MPEP 713.04 for complete and proper recordation including the identification of the general thrust of each argument or issue discussed, a general indication of any other pertinent matters discussed regarding patentability and the general results or outcome of the interview, to include an indication as to whether or not agreement was reached on the issues raised.

☐ Attachment

/MADHURI HERZOG/ Primary Examiner, Art Unit 2438	

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Page032

Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-15)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					
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U.S.PATENT APPLICATION PUBLICATIONS						
Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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FOREIGN PATENT DOCUMENTS								
Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐
If you wish to add additional Foreign Patent Document citation information please click the Add button								

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	2	Intrusion.com, Inc., "Building an Enterprise Security Infrastructure: Introduction to Kane Secure Enterprise ("Kane")," Mar. 2000	☐
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	11	IntruVert Networks, Inc., "Technology: IntruVert is introducing the industry's first real-time network intrusion prevention system that takes Intrusion Detection Systems (IDS) to a new level," Apr. 4, 2002	☐

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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	17	Kothari, P., Intrusion Detection Interoperability and Standardization, SANS (2002)	☐
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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	34	Mell, P. and Tracy, M., Procedures for Handling Security Patches	☐
	35	Mell, P. and Tracy, M., Procedures for Handling Security Patches, NIST Special Publication 800-40 (2002)	☐
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	39	Microsoft, "Microsoft Security Bulletin MS03-043, Buffer Overrun in Messenger Service Could Allow Code Execution (828035) ("Microsoft Bulletin MS03- 043")," Dec. 2, 2003	☐
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	45	MITRE Corporation, "CVE Vulnerability Search webpage ("CVE" or "CVE Vulnerability Search document")," 5-Jun-02	☐
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	48	Motorola Inc., "Motorola Intrusion Vision - Main Webpage ("Intrusion Vision Main")," Aug. 11, 2001	☐
	49	Motorola Inc., "Motorola, Motorola Intrusion Vision Datasheet Webpage ("Intrusion Vision Display Datasheet")," Aug. 20, 2001	☐
	50	National Institute of Standards and Technology, "ICAT Metabase Webpage ("ICAT")," 5-Jun-02	☐

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EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	06/04/2018

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S99	5609	(determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identify$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implement$6 or deploy$4 or install$6 or distribut$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4 or patch$4)	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2018/06/01 15:17
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EAST Search History (Interference)

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U.S.PATENTS

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	1	Check Point Software Technologies Ltd, "Check Point RealSecure Adminstration" Version 3.0, April 1999, 128 pages	☐
	2	Check Point Software Technologies Ltd, "Check Point RealSecure Attack Signatures Glossary" Version 3.2, September 1999, 177 pages	☐
	3	Check Point Software Technologies Ltd, "Check Point RealSecure Attack Signatures Glossary" Version 4.1, January 2000, 162 pages	☐
	4	Check Point Software Technologies Ltd, "Check Point RealSecure Console Guide" Version 3.2, September 1999, 96 pages	☐
	5	Check Point Software Technologies Ltd, "Check Point RealSecure Console Guide" Version 4.1, January 2000, 99 pages	☐
	6	Check Point Software Technologies Ltd, "Check Point RealSecure Manager User Guide" Version 4.1, September 1999, 24 pages	☐
	7	Check Point Software Technologies Ltd, "Check Point RealSecure Network Engine User Guide" Version 3.1, July 1999, 30 pages	☐
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	9	Check Point Software Technologies Ltd, "Check Point RealSecure Network Engine User Guide" Version 4.1, January 2000, 30 pages	☐
	10	Check Point Software Technologies Ltd, "Check Point RealSecure Release Notes" Version 4.1, March 2000, 15 pages	☐
	11	Check Point Software Technologies Ltd, "Check Point RealSecure System Agent User Guide" Version 3.1, July 1999, 34 pages	☐

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	12	Check Point Software Technologies Ltd, "Check Point RealSecure Verseion 2.5 Release Notes", November 1998, 4 pages	☐
	13	Check Point Software Technologies Ltd, "Getting Started with Check Point RealSecure" Version 2.5, April 1998, 50 pages	☐
	14	Check Point Software Technologies Ltd, "Getting Started with Check Point RealSecure" Version 3.0, February 1999, 54 pages	☐
	15	Check Point Software Technologies Ltd, "Getting Started with Check Point RealSecure" Version 3.1, July 1999, 54 pages	☐
	16	Check Point Software Technologies Ltd, "Getting Started with Check Point RealSecure" Version 3.2, September 1999, 62 pages	☐
	17	Check Point Software Technologies Ltd, "Getting Started with Check Point RealSecure" Version 4.1, January 2000, 50 pages	☐
	18	Check Point Software Technologies Ltd., "Check Point RealSecure Version 2.5 Release Notes, P/N 77400000100," Nov-98	☐
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☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

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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 inspections 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.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5960170	A	1999-09-28	Chen et al.	Entire Document
	2	6088804	A	2000-07-11	Hill et al.	Entire Document
	3	6119165	A	2000-09-12	Li et al.	Entire Document
	4	6185689	B1	2001-02-06	Robert E. Todd et al.	Entire Document
	5	6298445	B1	2001-10-02	Shostack et al.	Entire Document
	6	6301668	B1	2001-10-09	Gleichauf et al.	Entire Document
	7	6405318	B1	2002-06-11	Rowland	Entire Document
	8	6907531	B1	2005-06-14	Dodd et al.	Entire Document

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	9	6925443	B1	2005-08-02	Charlie C. Baggett et al.	
	10	6925572	B1	2005-08-02	Amit et al.	
	11	6957348	B1	2005-10-18	Flowers et al.	Entire Document
	12	7178166	B1	2007-02-13	Taylor et al.	Entire Document
	13	7234168	B2	2007-06-19	Gupta et al.	Entire Document
	14	7278161	B2	2007-10-02	Lingafelt et al.	Entire Document
	15	7308493	B2	2007-12-11	Liang	Entire Document
	16	7331061	B1	2008-02-12	Ramsey et al.	Entire Document
	17	7359626	B2	2008-04-15	McMurdie et al.	Entire Document
	18	7398272	B2	2008-07-08	Hindawi et al.	Entire Document
	19	7610610	B2	2009-10-27	Haeffele et al.	

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	20	7913303	B1	2011-03-22	Rouland et al.	Entire Document
	21	8225407	B1	2012-07-17	Thrower et al.	Entire Document
	22	9117069	B2	2015-08-25	Oliphant et al.	
	23	9118708	B2	2015-08-25	Oliphant et al.	

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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010034847	A1	2001-10-25	Stephen	Entire Document
	2	20020112179	A1	2002-08-15	Riordan et al.	Entire Document
	3	20020147803	A1	2002-10-10	Dodd et al.	
	4	20030004689	A1	2003-01-02	Gupta et al.	Entire Document
	5	20030126472	A1	2003-07-03	Banzhof	Entire Document

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	6	20030188194	A1	2003-10-02	Currie et al.	Entire Document
	7	20030196123	A1	2003-10-16	Rowland et al.	Entire Document
	8	20040006704	A1	2004-01-08	Dahlstrom et al.	Entire Document
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	10	20040073800	A1	2004-04-15	Shah et al.	Entire Document
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	14	20150271142	A1	2015-09-24	Oliphant et al.	

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FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]

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	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Hull, Scott, "GIAC Security Essentials Certification Practical Assignment," Version 1.4b, Option 2, May 31, 2003, found in GIAC Certifications, Global Information Assurance Certification Paper, SANS Institute (2003)	☐
	2	Martin, Robert, "The Vulnerabilities of Developing on the Net", CrossTalk Magazine, April, 2001	☐
	3	Miles Tracy, Wayne Jansen, and Mark McLamon, "Guidelines on Securing Public Web Servers," NIST Special Publication 800-44 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	4	Miles Tracy, Wayne Jansen, and Scott Bisker, "Guidelines on Electronic Mail Security," NIST Special Publication 800-45 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	5	New Briefs, Journal of Research of the National Institute of Standards and Technology, Volume 108, Number 1, January-February 2003, pages 87-102	☐
	6	Notice of Allowance from U.S. Pat. App. No. 14/816960 dated 2017-10-04	☐
	7	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-04-14	☐
	8	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-10-11	☐

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	Attorney Docket Number	SP1P012A

	9	Peter Mell and Miles C. Tracy, "Procedures for Handling Security Patches," NIST Special Publication 800-40 (Aug 2002), Recommendations of the National Institute of Standards and Technology	☐

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EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	06/04/2018

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-01-29
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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 the Freedom of Information Act requires disclosure of these record s.

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.

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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)).

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Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5796942	A	1998-08-18	Esbensen	
	2	5819255	A	1998-10-06	Celis et al.	
	3	5819255	A	1998-10-06	Celis et al.	
	4	5822750	A	1998-10-13	Jou et al.	
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	6	5872931	A	1999-02-16	Chivaluri	
	7	5951698	A	1999-09-14	Chen et al.	
	8	5960170	A	1999-09-28	Chen et al.	

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	9	5960170	A	1999-09-28	Chen et al.	
	10	5987611	A	1999-11-16	Freund	
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	20	6279113	B1	2001-08-21	Vaidya	
	21	6298445	B1	2001-10-02	Shostack et al.	
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	33	6574639	B2	2003-06-03	Carey et al.	
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	35	6636845	B2	2003-10-21	Chau et al.	
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	37	6775675	B1	2004-08-10	Nwabueze et al.	
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	42	6952779	B1	2005-10-04	Cohen et al.	
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	53	7159237	B2	2007-01-02	Schneier et al.	
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	60	7278161	B2	2007-10-02	Lingafelt et al.	
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	62	7308493	B2	2007-12-11	Liang	
	63	7308493	B2	2007-12-11	Liang	

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	64	7308715	B2	2007-12-11	Gupta et al.	
	65	7331061	B1	2008-02-12	Ramsey et al.	
	66	7359626	B2	2008-04-15	McMurdie et al.	
	67	7359962	B2	2008-04-15	Willebeek-LeMair et al.	
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☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

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Name/Print	Patrick Caldwell	Registration Number	44580

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	49	NetScreen Technologies, Inc., "NetScreen QuickStart Guide IDP 10, 100, 500 & Bypass Unit," 2003	☐
	50	NetScreen Technologies, Inc., "NetScreen-200 Series Installer's Guide," Date Unknown	☐

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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 inspections or an issued patent.

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	First Named Inventor	Brett M. Oliphant
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	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

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The information provided by you in this form will be subject to the following routine uses:

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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.

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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 inspections 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.

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	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	50	FR2819322 (Sadirac, 2012)	☐

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Examiner Signature	/MADHURI R HERZOG/	Date Considered	06/04/2018

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CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

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☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

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SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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.

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	50	Trend Micro Incorporated, "Trend Micro InterScan® VirusWall® 3 Quick Start Guide," Nov. 1, 1999	☐

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EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	06/04/2018

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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.

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Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-15)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

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	Examiner Name	Madhuri R HERZOG
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	23	Internet Security Systems "RealSecure 6.0", Frequently Asked Questions, June 2001, 21 pages	☐
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	34	Internet Security Systems, "RealSecure Network Engine User Guide," Version 3.1, 1999, 28 pages	☐
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	45	Internet Security Systems, "RealSecure Version 6.0 - README" June 2001	☐
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	50	Internet Security Systems, "System Requirements RealSecure IDS Application," May 2001, 10 pages	☐

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Sheet 1 of 1

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No.	Application No.
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		SP1P012A	14/816,931
		Applicant: Brett Oliphant	
		Filing Date: 08-03-2015	Group Art Unit: 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

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	NPL1	Non Final Office Action from U.S. Pat. App. No. 14/981,866 dated 2017-12-15
	NPL2	Non Final Office Action from U.S. Pat. App. No. 15/608,983 dated 2017-11-03
	NPL3	Non Final Office Action from U.S. Pat. App. No. 15/608,984 dated 2017-11-01

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Substitute Disclosure Form (PTO-1449)

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Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

CPC- SEARCHED		
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H04L 63/02$, 63/14$	6/4/2018	M.H
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SEARCH NOTES		
Search Notes	**Date**	**Examiner**
Inventor search, Assignee search	6/4/2018	M.H
East search	6/4/2018	M.H
Google Scholar search	6/4/2018	M.H
search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system, patch, exploit, adminstrator, identify, designate		M.H

INTERFERENCE SEARCH			
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INTERFERENCE SEARCH			
US Class/ CPC Symbol	**US Subclass / CPC Group**	**Date**	**Examiner**
G06F	21/5$ with search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system, patch, exploit, adminstrator, identify, designate	6/4/2018	M.H
H04L	63/02$, 63/14$ with the above search terms	6/4/2018	M.H

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Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-15)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	1	Sourcefire, Inc., "Snort User's Manual - Snort Release: 2.0.0 ("Snort Users Manual")," 2003	☐
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	18	Symantec Corporation, "Symantec AntiVirus™ Corporate Edition Reference Guide," 2002	☐
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	21	Symantec Corporation, "Symantec Client Security Business Pack Administrator's Guide," 2004	☐
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	24	Symantec Corporation, "Symantec Client Security Getting Started," 2004	☐
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CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

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☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Bibliographic Data

Application No: 14/816,931

Foreign Priority claimed: ○ Yes ◉ No

35 USC 119 (a-d) conditions met: ☐ Yes ☑ No ☐ Met After Allowance

Verified and Acknowledged: _____ _____

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Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
08/03/2015	726	2438	SP1P012A
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APPLICANTS

SecurityProfiling, LLC, Garland, TX,

INVENTORS

Brett M. Oliphant Plano, TX, UNITED STATES

John P. Blignaut West Lafayette, IN, UNITED STATES

CONTINUING DATA

This application is a CON of 14499230 09/28/2014 PAT 9100431

14499230 is a CIP of 14138014 12/21/2013 PAT 9117069

14138014 is a CON of 10882852 07/01/2004

10882852 has PRO of 60484085 07/01/2003

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Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

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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 the Freedom of Information Act requires disclosure of these record s.

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.

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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 inspections 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.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

CPC						
Symbol					**Type**	**Version**
H04L		63	/	1433	F	2013-01-01
H04L		63	/	1441	I	2013-01-01
G06F		21	/	577	I	2013-01-01
G06F		21	/	55	I	2013-01-01
H04L		63	/	14	I	2013-01-01
G06F		21	/	554	I	2013-01-01
H04L		63	/	1408	I	2013-01-01
H04L		63	/	02	I	2013-01-01
G06F		21	/	50	I	2013-01-01
H04L		63	/	0263	A	2013-01-01
H04L		63	/	1416	I	2013-01-01
H04L		63	/	20	I	2013-01-01
G06F		21	/	57	I	2013-01-01
H04L		63	/	0227	I	2013-01-01
H04L		63	/	145	I	2013-01-01

CPC Combination Sets							
Symbol				**Type**	**Set**	**Ranking**	**Version**
			/				
			/				

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	06/04/2018	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	60	1

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Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

US ORIGINAL CLASSIFICATION		INTERNATIONAL CLASSIFICATION										
CLASS	SUBCLASS	CLAIMED					NON-CLAIMED					
		H	0	4	L	29 / 00 (2006.01.01)						

CROSS REFERENCE(S)					
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)				

NONE		Total Claims Allowed:	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	06/04/2018	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	60	1

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Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
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	2		18		34		50	7	66						
	3		19		35		51	8	67						
	4		20		36		52	9	68						
	5		21		37		53	10	69						
	6		22		38		54	11	70						
	7		23		39		55	12	71						
	8		24		40		56	13	72						
	9		25		41		57	14	73						
	10		26		42		58	15	74						
	11		27		43		59	16	75						
	12		28		44	1	60	17	76						
	13		29		45	2	61	18	77						
	14		30		46	3	62	19	78						
	15		31		47	4	63	20	79						
	16		32		48	5	64	21	80						

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	06/04/2018	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	60	1

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Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	Art Unit
	MADHURI HERZOG	2438

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

CLAIM		DATE								
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Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	Art Unit
	MADHURI HERZOG	2438

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

CLAIM		DATE								
Final	Original	12/22/2015	07/20/2016	01/04/2017	06/02/2017	10/10/2017	06/04/2018			
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12	71						=			
13	72						=			

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Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	Art Unit
	MADHURI HERZOG	2438

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

CLAIM		DATE								
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18	77						=			
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21	80						=			
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Electronic Acknowledgement Receipt	
EFS ID:	32147586
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	23-MAR-2018
Filing Date:	03-AUG-2015
Time Stamp:	21:23:06
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Non Patent Literature	ISSRealSecureDesktopProetectorUG_7-0_June2003_vR_p1-60.pdf	17727233 097cf63d2154cfdab2b331e4f9c82c73c0273e60	no	60

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2	Non Patent Literature	ISSRealSecureDesktopProetectorUG_7-0_June2003_vR_p61-126.pdf	14285221 71688cd93227fd08846c4d8b488d37cd832e6399	no	66
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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.

Electronic Acknowledgement Receipt	
EFS ID:	32084336
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	23-MAR-2018
Filing Date:	03-AUG-2015
Time Stamp:	18:22:12
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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14	Non Patent Literature	ISSBlackIceGuardSCR_2001_vR.pdf	3977557 24886668b760247d1b7a0c6031b83d388b7dca1f	no	9
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18	Non Patent Literature	ISSInternetScannerGettingStarted_1999_UNIX_SCANNER53GS_vR.pdf	19084851 7d442e72ce802f7d4ec1136ca29d7a16058 49da3	no	40
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52	Non Patent Literature	ISSInternetScannerUserGuide_1998_NT_SCANNER56_vR_p111-162.pdf	22178799 483e64c353c1877022a4c31b5d82290eddfba34c	no	52
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53	Non Patent Literature	ISSInternetScannerUserGuide_1998_UNIX_SCANNER53USER_vR_p1-45.pdf	21497916 eb542ea74aba5bd03b67d2023b66459590dc9741	no	45
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56	Non Patent Literature	ISSInternetScannerUserGuide_1998_UNIX_SCANNER53USER_vR_p136-173.pdf	21965373 b60609088ae90a25240db30d0ee7d088d16369ec	no	38
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57	Non Patent Literature	ISSRealSecure_DEsktopUserGuide_June2003_RSDP-UG_70_vR_p1-60.pdf	17727246 328fabf94ac6ee5d849b245adba699ed11b87707	no	60
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58	Non Patent Literature	ISSRealSecure_DEsktopUserGuide_June2003_RSDP-UG_70_vR_p61-126.pdf	14285221 dd22ee16d8b14e4d20a9f391d9341db5671509f9	no	66
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		Total Files Size (in bytes):	963724126		

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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.

Electronic Acknowledgement Receipt

EFS ID:	32003919
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	09-MAR-2018
Filing Date:	03-AUG-2015
Time Stamp:	10:50:25
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Non Patent Literature	14981866.pdf	1475340 4f2f133f504dfad177aef4f491f5b5b64a7fedb	no	30
Warnings:					

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4	Non Patent Literature	BigFixEnterpriseAdminGuidev5_2004_IBM001033.pdf	4924228 a31dbfb9adb7bf8d022af9436c18181dfc5db4ad	no	68
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8	Non Patent Literature	CheckPointRealSecure_v2-5_Aug1998_GettingStarted.pdf	552299 51fc57738aa44e0780f3d04418b866dfae8b2498	no	68
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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.

Electronic Acknowledgement Receipt	
EFS ID:	32005702
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	09-MAR-2018
Filing Date:	03-AUG-2015
Time Stamp:	11:26:03
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Non Patent Literature	ISSRealSecureFAQ_6-0_2001.pdf	875020 6a294a2cb13825f8ce100628a932da0f53ec7af4	no	25

Warnings:

Information:					
2	Non Patent Literature	ISSRealSecureGettingStarted_3-1_1999.pdf	1990048 36f5d162414eef3a92fc6041f7babefa70bf1e81	no	78
Warnings:					
Information:					
3	Non Patent Literature	ISSRealSecureGettingStarted_1998.pdf	1078807 dc2c6b6b198b5f2565e1c08d40ae57dfc21a208f	no	50
Warnings:					
Information:					
4	Non Patent Literature	ISSRealSecureInstallGuide_6-0_2001.pdf	5113573 8187ae00a8e85802ae546b4726b869888373e4c0	no	242
Warnings:					
Information:					
5	Non Patent Literature	ISSRealSecureInternetScanner_1998.pdf	3577896 5e5d8512d82f684efc5f16d25a5d31716702355a	no	179
Warnings:					
Information:					
6	Non Patent Literature	ISSRealSecureNetworkEngineUserGuide_3-1_1999.pdf	1320029 fc75108746663cb42bbc79aa34cfcd183d8d135a	no	38
Warnings:					
Information:					
7	Non Patent Literature	ISSRealSecureNetworkSensorGuide_6-0_2001.pdf	1497877 ed71e394c91cf36d212efb445a81d6e5b445101b	no	68
Warnings:					
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8	Non Patent Literature	ISSRealSecureNetworkSensorInstallGuide_7-0_2002.pdf	2951577 428a6d1b0864b518132e2ab5f4bb9e642d54462e	no	164
Warnings:					
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10	Non Patent Literature	ISSRealSecureNetworkSensorReleaseNotes_Jan2001.pdf	140663 deb43bb603aefbbf59fce7594983309c1dc128f8	no	6
Warnings:					
Information:					
11	Non Patent Literature	ISSRealSecureOSSensorGuide_5-0_2001.pdf	1688778 14abb33ce8ab58abdf32a07251c9c1807de53c5f	no	64
Warnings:					
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12	Non Patent Literature	ISSRealSecureReadMe_6-0_2001.pdf	201054 c5a2d70c1ab45eb471da9cd97c2206ee1dcea0ca	no	9
Warnings:					
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13	Non Patent Literature	ISSRealSecureReleaseNotes_6-0_2001.pdf	361426 05a68bcb5d265c69c3b2257baaa94e87f2e71d51	no	14
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14	Non Patent Literature	ISSRealSecureServerSensorFAQ_6-0-1_2001.pdf	1451716 a1ba239dfedc6e5c155c58270787ce30fdcecada	no	40
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16	Non Patent Literature	ISSRealSecureSystemAgent_3-1_1999.pdf	1311270 88088d0ca2b926c7823a6e1610a7e5a3e86bb6bf	no	40
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18	Non Patent Literature	ISSRealSecureUserGuide_3-0_1998.pdf	4131360 47c3d33ac2904b8ff0a2b603ed485b0f0a0e7f60	no	289
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Information:					
19	Non Patent Literature	ISSRealSecureWorkgroupManagerUserGuide_6-0_2001.pdf	7811856 3c236ad2660c3edf59d3f13a6ba344cc3c6915b5	no	290
Warnings:					
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20	Non Patent Literature	ISSSystemScanner_1-1_1999.pdf	1282287 64146e94aac400b9cbb67a8f9d9ffc432b5e000b	no	56
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21	Non Patent Literature	ISSSystemScanner_GettingStarted1-7_1998.pdf	2202040 579b056468992570975f3ef229fd1a1ef966ae3	no	88
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22	Non Patent Literature	ITLBulletinNov1999.pdf	340490 994ad01d9450782703e99ca3ed0c8879f91c5a58	no	6
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23	Non Patent Literature	Martinarticle.pdf	617966 3455f7095ca053ead6b33fb6bc9df20dc63d706a	no	8
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24	Non Patent Literature	McHughArticle-IntrusionandIntrusionDetection.pdf	1174922 c1cc6853b88e84c8afe6b111def6f9a899615b3a	no	22
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25	Non Patent Literature	NetscreenConceptsandExamples.pdf	16805879 b8342fd0b08698482e4cbf8dff3e599f794b7bcc	no	578
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26	Non Patent Literature	NetscreenConceptsandExamples1.pdf	16805945 0179a43ba98cdb2ca99dfaf8bc13d28c1dd0d68c	no	578
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Warnings:					
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28	Non Patent Literature	NOVELL000309_2005.pdf	795485 0ff6f27d0d53f42611c23515a8c2799e0b6c415c	no	46
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30	Non Patent Literature	RetinaNetworkSecurityScanner_BT0000001_2004.pdf	2197667 322dd400fa3d86f6448a6d9a594f0e6b6c494eb0	no	105
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31	Non Patent Literature	StrauderltrTMSP-REF_00001516.pdf	48768 36e526cd967392b84b1d7f5beb9a147616a0ca88	no	1
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Warnings:					
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33	Non Patent Literature	TippingPointTechnologies-22002.pdf	92766 bc7b656e893ff3600f25991bd38fe7ad22616c59	no	1
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34	Non Patent Literature	TippingPointTechnologies-32002.pdf	152334 351c47e19356e932caeaee641c396fa99ed31f51	no	2
Warnings:					
Information:					
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Warnings:					
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Warnings:					
Information:					

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Warnings:					
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38	Non Patent Literature	TippingPointTechnologies-72002.pdf	249731 61116589f8f7285c44823586cc92bcc57ec9aa0d	no	3
Warnings:					
Information:					
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40	Non Patent Literature	VigiEnt_SecurityMgrUserGuide_Aug2003.pdf	5977865 07f202e7c6c9e77064a3588c364067504e5d16e8	no	314
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41	Non Patent Literature	VigiEnt_ver3-0_ReadMe.pdf	132792 5ddfc6f884d805052a443cbc8299ca838297dd2f	no	5
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Information:					
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Warnings:					
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43	Non Patent Literature	VigiEnt_ver4-0_ReleaseNotes_Mar2003.pdf	240964 ecb31c10862c74be1e2c6ef384012dc58db80168	no	9
Warnings:					
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44	Non Patent Literature	VigiEnt_ver4-0_UserGuide_Mar 2003.pdf	6247694 cd77ec69ae4d8902edea07cf667f14a0f43fe 45e	no	310
Warnings:					
Information:					
45	Non Patent Literature	VigiEnt_ver4-1_ReleaseNotes_ Aug2003.pdf	344860 919d51479320054b286fc442707ec5b19df e7bea	no	13
Warnings:					
Information:					
46	Non Patent Literature	VigiEnt_ver5-0_ReleaseNotes_J une2004.pdf	301642 adfc353513e6483b0d5f1b46a099674e38d 84cf5	no	11
Warnings:					
Information:					
		Total Files Size (in bytes):	129749960		

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New Applications Under 35 U.S.C. 111

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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.

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Brett Oliphant	
		Filing Date 08-03-2015	Group Art Unit 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	NPL1	Non Final Office Action from U.S. Pat. App. No. 14/981,866 dated 2017-12-15
	NPL2	Non Final Office Action from U.S. Pat. App. No. 15/608,983 dated 2017-11-03
	NPL3	Non Final Office Action from U.S. Pat. App. No. 15/608,984 dated 2017-11-01

Examiner Signature	Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	2	5819255	A	1998-10-06	Celis et al.	
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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	33	6574639	B2	2003-06-03	Carey et al.	
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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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	Art Unit	2438
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	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20020087882	A1	2002-07-04	Schneier et al.	Entire Document
	2	20020100036	A1	2002-07-25	Moshir et al.	Entire Document
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	Attorney Docket Number	SP1P012A

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

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☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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	1	Clark, David Leon, "Enterprise Security: The Manager's Defense Guide," 2003, Addison-Wesley	☐
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	45	Fortinet, Inc., ""FortiGate 400/500 – Real-time Network Protection for Enterprises"," 2004	☐
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	1	Fortinet, Inc., "Content Protection Guide Version 2.50," Jun. 23, 2003	☐
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Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

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	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

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☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

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Name/Print	Patrick Caldwell	Registration Number	44580

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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 inspections 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.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

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CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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.

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	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

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	3	Trend Micro Incorporated, "Trend Micro OfficeScan3 Administrator's Guide," Dec. 1999	☐
	4	Trend Micro Incorporated, "Trend Micro OfficeScan3 Client User's Guide," Dec. 1999	☐
	5	Trend Micro Incorporated, "Trend Micro OfficeScan3 Getting Started Guide," Oct. 2000	☐
	6	Trend Micro Incorporated, "Trend Micro(TM) Control Manager 2.5 Readme," Dec. 2002	☐
	7	Trend Micro Incorporated, "Trend Micro™ InterScan VirusWall™ 3 Getting Started Guide," Aug. 2003	☐
	8	Trend Micro Incorporated, "Trend OfficeScan Corporate Edition Administrator's Guide," 1998	☐
	9	Tuttle et al., "Centralized Risk Management Using Tivoli Risk Manager 4.2, International Technical Support Organization," 2003, International Business Machines Corporation	☐
	10	Voldal, D., A Practical Methodology for Implementing a Patch Management Process, SANS (2003)	☐
	11	Vukelich, D., Levin, D., and Lowry, J., Architecture for Cyber Command and Control: Experiences and Future Directions, IEEE (2001)	☐

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	12	Wassom, D., Intrusion Detection Systems: An Overview of RealSecure, SANS (2002)	☐
	13	Welch-Abernathy, Dameon D. , "Essential Check Point FireWall - An Installation, Configuration, and Troubleshooting Guide," 2000, Pearson Education, Inc.	☐
	14	Wickham, T., Intrusion Detection is Dead. Long Live Intrusion Prevention!, SANS (2003)	☐
	15	Wickham, Timothy, "Intrusion Detection is Dead. Long Live Intrusion Prevention!, SANS Institute InfoSec Reading Room," Apr. 21, 2003, SANS Institute	☐
	16	Windows IT Pro, "Retina 3.0 ("Windows IT Pro Article")," Feb. 25, 2001	☐
	17	Young, Casey, "Exploring IBM e-business Software, Second Edition," 2003, Maximum Press	☐

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-02-22
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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 the Freedom of Information Act requires disclosure of these record s.

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 inspections 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.

ForcePoint LLC
EX-1010
Page317

Electronic Acknowledgement Receipt

EFS ID:	31854343
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	22-FEB-2018
Filing Date:	03-AUG-2015
Time Stamp:	21:38:51
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	SP1P012A_IDS_XMTL_vF_22-Feb-2018.pdf	63217 a3510ca29640fed1e23524c5da945bea2e0dd7d1	no	2

Warnings:

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_vF_22-Feb-2018.pdf	20945 0fa811cd7aadfeb5f35af6a55abf121d7287b088	no	1
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
3	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_1_OF_13_vF.pdf	116431 184c1864c3a9f008c660649eb1c6b325c4a51636	no	21
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
4	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_2_OF_13_vF.pdf	56315 abf7bafc95eafefa8a5a2ba8368e51bee31e378f	no	8
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
5	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_3_OF_13_vF.pdf	58911 e281e232a763ca90d735f810ae4c19ba0929d39c	no	8
Warnings:					
Information:					
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6	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_4_OF_13_vF.pdf	54359 25a1d670b31b6e7bf1fdfca17b92995ba7bf12b6	no	8
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Information:					
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7	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_5_OF_13_vF.pdf	58186 f4ad576ef636c8f5bd1b9bc7330e8c730baa8263	no	8
Warnings:					
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8	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_6_OF_13_vF.pdf	57040 7a2978f8266d157c2abb9b01af336b4b553c34e1	no	8
Warnings:					
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9	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_7_OF_13_vF.pdf	60083 6967941996380 3f045073c2ceaf3ba45825ac114	no	8
Warnings:					
Information:					
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10	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_8_OF_13_vF.pdf	57131 d2997ea862940aa66c8837e1b6393f304a9bcab1	no	8
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Information:					
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11	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_9_OF_13_vF.pdf	59353 dc5238e68ac2d32c7b8d133ea27f032dc5f6efe7	no	8
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
12	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_10_OF_13_vF.pdf	59796 d6ce204d98a1dea0b5b41366966f1a6caf294ac0	no	8
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
13	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_11_OF_13_vF.pdf	56234 8a7d1d9e6e5e3a521b7e365ff87caeabd8ea9139	no	8
Warnings:					
Information:					
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14	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_12_OF_13_vF.pdf	58460 2715505d760e4db0f487cd14a138c6c4df789289	no	8
Warnings:					
Information:					
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15	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_20180222_13_OF_13_vF.pdf	44617 5ad4a11e65bbe384e5a7c18ee42b901b30008112	no	5
Warnings:					
Information:					
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		Total Files Size (in bytes):	881078		

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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Confirmation No.: 1044
Brett M. Oliphant	Examiner: Madhuri R HERZOG
Application No.: 14/816,931	Art Unit: 2438
File Date: 2015-08-03	Docket No.: SP1P012A
Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Date: February 22, 2018

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56 AND 1.97(b)

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

Dear Sir:

The reference(s) listed in the attached PTO Form 1449, cop(ies) of which is attached (when necessary), may be material to examination of the above-identified patent application. Applicants submit the reference(s) in compliance with their duty of disclosure pursuant to 37 CFR §§ 1.56 and 1.97. The Examiner is requested to make the reference(s) of official record in this application.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that the reference(s) indeed constitutes prior art.

In one or more previously-filed information disclosure statements, a statement was mistakenly made that "[n]o invalidity contentions have been provided in such litigation." Applicant hereby retracts such statement, and notes that prior art received in one or more invalidity contentions have, in fact, been disclosed in one or more information disclosure statements.

Additionally, one or more related patents are the subject of pending litigation (e.g. US8266699, US8984644, US9100431, US9117069, US9118708, and US9225686). The court case *SecurityProfiling LLC v. Intel Corporation et al.*, case number 6:16-cv-01016, in the U.S. District Court for the Eastern District of Texas has terminated. Further, related patents (e.g. US8266699, and US8984644) are the subject of pending inter partes reviews (IPR No. 2017-02191; IPR No. 2017-02192), where one or more declarations have been filed.

This Information Disclosure Statement is believed to be filed within three months of the filing date of a national application other than a continued prosecution application, within three months of the date of entry of the national stage in an international application, before the mailing of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

Respectfully submitted,



Dated: 22 Feb 2018

The Caldwell Firm, LLC
PO Box 59655
Dallas, Texas 75229-0655
Telephone: (214) 734-2313
pcaldwell@thecaldwellfirm.com

Patrick E. Caldwell, Esq.
Reg. No. 44,580

Doc code: RCEX
Doc description: Request for Continued Examination (RCE)

PTO/SB/30EFS (07-14)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL
(Submitted Only via EFS-Web)

Application Number	14/816,931	Filing Date	2015-08-03	Docket Number (if applicable)	SP1P012A	Art Unit	2438
First Named Inventor	Brett M. Oliphant			Examiner Name	HERZOG, MADHURI R		

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, to any international application that does not comply with the requirements of 35 U.S.C. 371, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV.

SUBMISSION REQUIRED UNDER 37 CFR 1.114

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

☐ Other _____

☒ Enclosed

☐ Amendment/Reply

☒ Information Disclosure Statement (IDS)

☐ Affidavit(s)/ Declaration(s)

☐ Other _____

MISCELLANEOUS

☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months _____
(Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

☐ Other _____

FEES

☐ **The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No _____

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

☒ Patent Practitioner Signature

☐ Applicant Signature

EFS - Web 2.1.15

PTO/SB/30EFS (07-14)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Signature of Registered U.S. Patent Practitioner			
Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-01-29
Name	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.114. 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.

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 the Freedom of Information Act requires disclosure of these records.

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 inspections 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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Confirmation No.: 1044
Brett M. Oliphant	Examiner: HERZOG, MADHURI R
Application No.: 14/816,931	Art Unit: 2438
File Date: 08/03/2015	Docket No.: SP1P012A
Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Date: 1/29/2018

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56 AND 1.97(b)

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

Examiner:

The reference(s) listed in the attached PTO Form 1449, cop(ies) of which is attached (when necessary), may be material to examination of the above-identified patent application. Applicants submit the reference(s) in compliance with their duty of disclosure pursuant to 37 CFR §§ 1.56 and 1.97. The Examiner is requested to make the reference(s) of official record in this application.

Per MPEP 609.02, the "[E]xaminer will consider information which has been considered by the Office in a parent application when examining … a continuation application…[, and a] listing of the information need not be resubmitted in the continuing application unless the applicant desires the information to be printed on the patent." To the extent that any information has been considered by the Office in a parent application of the instant application, it is assumed that, per the above cited MPEP section, the Examiner has considered the same in connection with the instant application. If applicant's assumption is in error or the Examiner requires re-submission of any such information, etc., applicant requests that the Examiner contact the undersigned so that applicant can address the same. With that said, submitted herewith is a re-submission of at least some information, as applicant desires such re-submitted information to be printed on any patent resulting from the instant application. Applicant further discloses

the fact that at least one related parent of the instant application was the subject of litigation that has been recently terminated. This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that the reference(s) indeed constitutes prior art.

Related patents (e.g. US8266699, US8984644, US9100431, US9117069, US9118708, and US9225686) are the subject of pending litigation (NDTX 3:17-cv-01484) and terminated litigation (EDTX 6:16-cv-01165). No invalidity contentions have been provided in such litigation. Further, related patents (e.g. US8266699, and US8984644) are the subject of pending inter partes reviews (IPR No. 2017-02191; IPR No. 2017-02192) in at least one of which one or more inventor declarations have been submitted. The references cited in such pending inter partes reviews are submitted simultaneously herewith.

This Information Disclosure Statement is believed to be filed within three months of the filing date of a national application other than a continued prosecution application, within three months of the date of entry of the national stage in an international application, before the mailing of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

Respectfully submitted,



Dated: 29 Jan 2018

The Caldwell Firm, LLC
PO Box 59655
Dallas, Texas 75229-0655
Telephone: (214) 734-2313
pcaldwell@thecaldwellfirm.com

Patrick E. Caldwell, Esq.
Reg. No. 44,580

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5960170	A	1999-09-28	Chen et al.	Entire Document
	2	6088804	A	2000-07-11	Hill et al.	Entire Document
	3	6119165	A	2000-09-12	Li et al.	Entire Document
	4	6185689	B1	2001-02-06	Robert E. Todd et al.	Entire Document
	5	6298445	B1	2001-10-02	Shostack et al.	Entire Document
	6	6301668	B1	2001-10-09	Gleichauf et al.	Entire Document
	7	6405318	B1	2002-06-11	Rowland	Entire Document
	8	6907531	B1	2005-06-14	Dodd et al.	Entire Document

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	9	6925443	B1	2005-08-02	Charlie C. Baggett et al.	
	10	6925572	B1	2005-08-02	Amit et al.	
	11	6957348	B1	2005-10-18	Flowers et al.	Entire Document
	12	7178166	B1	2007-02-13	Taylor et al.	Entire Document
	13	7234168	B2	2007-06-19	Gupta et al.	Entire Document
	14	7278161	B2	2007-10-02	Lingafelt et al.	Entire Document
	15	7308493	B2	2007-12-11	Liang	Entire Document
	16	7331061	B1	2008-02-12	Ramsey et al.	Entire Document
	17	7359626	B2	2008-04-15	McMurdie et al.	Entire Document
	18	7398272	B2	2008-07-08	Hindawi et al.	Entire Document
	19	7610610	B2	2009-10-27	Haeffele et al.	

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	Attorney Docket Number	SP1P012A

	20	7913303	B1	2011-03-22	Rouland et al.	Entire Document
	21	8225407	B1	2012-07-17	Thrower et al.	Entire Document
	22	9117069	B2	2015-08-25	Oliphant et al.	
	23	9118708	B2	2015-08-25	Oliphant et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010034847	A1	2001-10-25	Stephen	Entire Document
	2	20020112179	A1	2002-08-15	Riordan et al.	Entire Document
	3	20020147803	A1	2002-10-10	Dodd et al.	
	4	20030004689	A1	2003-01-02	Gupta et al.	Entire Document
	5	20030126472	A1	2003-07-03	Banzhof	Entire Document

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	6	20030188194	A1	2003-10-02	Currie et al.	Entire Document
	7	20030196123	A1	2003-10-16	Rowland et al.	Entire Document
	8	20040006704	A1	2004-01-08	Dahlstrom et al.	Entire Document
	9	20040064726	A1	2004-04-01	Girouard	Entire Document
	10	20040073800	A1	2004-04-15	Shah et al.	Entire Document
	11	20040088581	A1	2004-05-06	Brawn et al.	
	12	20040221176	A1	2004-11-04	Cole	
	13	20060191012	A1	2006-08-24	Banzhof et al.	
	14	20150271142	A1	2015-09-24	Oliphant et al.	

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FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]

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Page332

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	1							☐

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Hull, Scott, "GIAC Security Essentials Certification Practical Assignment," Version 1.4b, Option 2, May 31, 2003, found in GIAC Certifications, Global Information Assurance Certification Paper, SANS Institute (2003)	☐
	2	Martin, Robert, "The Vulnerabilities of Developing on the Net", CrossTalk Magazine, April, 2001	☐
	3	Miles Tracy, Wayne Jansen, and Mark McLamon, "Guidelines on Securing Public Web Servers," NIST Special Publication 800-44 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	4	Miles Tracy, Wayne Jansen, and Scott Bisker, "Guidelines on Electronic Mail Security," NIST Special Publication 800-45 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	5	New Briefs, Journal of Research of the National Institute of Standards and Technology, Volume 108, Number 1, January-February 2003, pages 87-102	☐
	6	Notice of Allowance from U.S. Pat. App. No. 14/816960 dated 2017-10-04	☐
	7	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-04-14	☐
	8	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-10-11	☐

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	9	Peter Mell and Miles C. Tracy, "Procedures for Handling Security Patches," NIST Special Publication 800-40 (Aug 2002), Recommendations of the National Institute of Standards and Technology	☐

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2018-01-29
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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 the Freedom of Information Act requires disclosure of these record s.

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.

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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

Application Number:	14816931
Filing Date:	03-Aug-2015
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Filer:	Patrick Edgar Caldwell
Attorney Docket Number:	SP1P012A

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
RCE- 2ND AND SUBSEQUENT REQUEST	2820	1	950	950
		Total in USD ($)		**950**

Electronic Acknowledgement Receipt	
EFS ID:	31639082
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	29-JAN-2018
Filing Date:	03-AUG-2015
Time Stamp:	21:47:59
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	$950
RAM confirmation Number	013018INTEFSW21491900
Deposit Account	
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Continued Examination (RCE)	SP1P012A_RCE_vF_29-Jan-2018.pdf	39321 ed16c3c7fafafb3b7e64a57c18f17f4df1c7cc8e	no	3
Warnings:					
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Information:					
2	Transmittal Letter	SP1P012A_IDS_XMTL_vF_29-Jan-2018.pdf	59207 1bca0d9dd7e8fe61d873a54f802e3daf008c5e73	no	2
Warnings:					
Information:					
3	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_vF_29-Jan-2018.pdf	59132 2ee4f9f6170e9e714ccd120e770431e7354ca41b	no	8
Warnings:					
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4	Non Patent Literature	14816960_SP1P012B_NOA_2017-10-04.pdf	1211132 c8800f8bb35664721eae1f665fc805103dc5c09e	no	26
Warnings:					
Information:					
5	Non Patent Literature	14834102_SP1P009A_NOA_2017-04-14.pdf	456740 d863180de5bf5b89938fac664461a64e05a07e7b	no	9
Warnings:					
Information:					
6	Non Patent Literature	14834102_SP1P009A_NOA_2017-10-11.pdf	1030349 4455999d3581457e32f021857810 4b0c92a15f79	no	21

Warnings:					
Information:					
7	Non Patent Literature	Hull_GIAC_Security_Essentials_vR.pdf	7601943 35be00e83083d1a05847f7bfef95ef62276ac95c	no	14
Warnings:					
Information:					
8	Non Patent Literature	Martin_The_Vulnerabilities_of_Developing_vR.pdf	8999369 d34a7adbbcf6b54d9d9ec87e6c10817a9e7b7e96	no	7
Warnings:					
Information:					
9	Non Patent Literature	NIST_Guidelines_on_Electronic_vR.pdf	3561411 850c83a5753d4ad5592212f5fb8810bc9179d199	no	153
Warnings:					
Information:					
10	Non Patent Literature	NIST_Guidelines_on_Securing_vR.pdf	6284040 47729ea2991815d031dff8b04ac148514b5e201d	no	187
Warnings:					
Information:					
11	Non Patent Literature	NIST_News_Briefs_vR.pdf	808556 5ed0cd4da698d9eab533f56664fb9475a0e34d12	no	16
Warnings:					
Information:					
12	Non Patent Literature	NIST_Procedures_for_handling_security_patches_vR.pdf	23113650 8032b6c1ac28386ee66d10f722710693f283154c	no	101
Warnings:					
Information:					
13	Fee Worksheet (SB06)	fee-info.pdf	30698 fabc0db3423ec546692e5a1b18adb04ae1f37c70	no	2
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Total Files Size (in bytes):	53255548

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.

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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.

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NOTICE OF ALLOWANCE AND FEE(S) DUE

127962 7590 10/27/2017

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	
ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 10/27/2017

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	01/29/2018

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 ENTITY STATUS shown above. If the ENTITY STATUS is shown as SMALL or MICRO, verify whether entitlement to that entity status still applies.

If the ENTITY STATUS is the same as shown above, pay the TOTAL FEE(S) DUE shown above.

If the ENTITY STATUS is changed from that shown above, on PART B - FEE(S) TRANSMITTAL, complete section number 5 titled "Change in Entity Status (from status indicated above)".

For purposes of this notice, small entity fees are 1/2 the amount of undiscounted fees, and micro entity fees are 1/2 the amount of small entity fees.

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: Maintenance fees are due in utility patents issuing on applications filed on or after Dec. 12, 1980. It is patentee's responsibility to ensure timely payment of maintenance fees when due. More information is available at www.uspto.gov/PatentMaintenanceFees.

PTOL-85 (Rev. 02/11)

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Page343

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)

127962 7590 10/27/2017
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

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.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	01/29/2018

EXAMINER	ART UNIT	CLASS-SUBCLASS
HERZOG, MADHURI R	2438	726-025000

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 _____
2 _____
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 (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

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 credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. **Change in Entity Status** (from status indicated above)
- ❑ Applicant certifying micro entity status. See 37 CFR 1.29 — NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
- ❑ Applicant asserting small entity status. See 37 CFR 1.27 — NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
- ❑ Applicant changing to regular undiscounted fee status. — NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

PTOL-85 Part B (10-13) Approved for use through 10/31/2013. OMB 0651-0033 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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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.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

127962 7590 10/27/2017

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	
ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 10/27/2017

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

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

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.

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OMB Clearance and PRA Burden Statement for PTOL-85 Part B

The Paperwork Reduction Act (PRA) of 1995 requires Federal agencies to obtain Office of Management and Budget approval before requesting most types of information from the public. When OMB approves an agency request to collect information from the public, OMB (i) provides a valid OMB Control Number and expiration date for the agency to display on the instrument that will be used to collect the information and (ii) requires the agency to inform the public about the OMB Control Number's legal significance in accordance with 5 CFR 1320.5(b).

The information collected by PTOL-85 Part B 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. 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.

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.

Notice of Allowability	Application No. 14/816,931	Applicant(s) OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	AIA (First Inventor to File) Status No

-- 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 *10/04/2017*.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on_____.
2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
3. ☒ The allowed claim(s) is/are *1-22*. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   Certified copies:

   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.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ 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. ☐ Notice of References Cited (PTO-892)
2. ☒ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date See Continuation Sheet
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
4. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
5. ☐ Examiner's Amendment/Comment
6. ☒ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

/MADHURI HERZOG/
Primary Examiner, Art Unit 2438

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Continuation of Attachment(s) 2. Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date: 09/08/2017, 10/16/2017, 10/17/2017.

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DETAILED ACTION

1. The present application is being examined under the pre-AIA first to invent provisions.

2. The text of those sections of Title 35 U.S. Code not included in this section can be found in the prior office action.

3. The prior office actions are incorporated herein by reference. In particular, the observations with respect to claim language, and response to previously presented arguments.

4. Claims 1-22 have been examined and are pending.

Terminal Disclaimer

5. The terminal disclaimer filed on 10/04/2017 disclaiming the terminal portion of any patent granted on this application which would extend beyond the expiration date of U.S. Patent No. 8984644 has been reviewed and is accepted. The terminal disclaimer has been recorded.

Information Disclosure Statement

6. The information disclosure statements (IDSs) submitted on 09/08/2017, 10/16/2017 and 10/17/2017 are in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statements are being considered by the examiner.

Allowable Subject Matter

7. Claims 1-22 are allowed over prior art of record.

Response to Arguments

8. No specific remarks or applicant arguments have been filed with this RCE.

Examiner's Statement of Reasons for Allowance

9. The following is an examiner's statement of reasons for allowance:

Independent claims 1, 16 and 20 are allowed for reasons presented by the applicant in pages 13-14 of the Remarks presented on 06/28/2016. Claims 2-15, 17-19, 21 and 22 depend on one of the above mentioned independent claims and are therefore allowed by virtue of their dependencies.

Prior art of record Brawn teaches: a management system stores various remediation techniques corresponding to various vulnerabilities. The management system transmits an interrogation program to the client that attempts to exploit a known vulnerability present in the software of the client, determines whether the vulnerability is exploited and transmits a remediation program if the vulnerability is exploited. Prior art Banzhof1 teaches: Constructing remediation signatures such as patches or fixes to remediate a vulnerability. IT or security personnel select which remediation signatures to deploy to client computers. Prior art of record Banzhof2 teaches displaying vulnerabilities to an administrator.

However, Brawn, Banzhof1 and Banzhof2 fail to teach “said apparatus configured such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an operating system”, i.e., the prior arts fail to teach identifying a remediation technique based on the operating system.

None of the prior art of record, either taken by itself or in any combination, would have anticipated or made obvious the invention of the present application at or before the time it was filed.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled “Comments on Statement of Reasons for Allowance.”

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MADHURI HERZOG whose telephone number is (571)270-3359. The examiner can normally be reached on M-F from 8:30am - 5:00pm.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on 571-272-3787. 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.

/MADHURI HERZOG/
Primary Examiner, Art Unit 2438

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P.O. Box 1450
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BIB DATA SHEET

CONFIRMATION NO. 1044

SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
14/816,931	08/03/2015 RULE	726	2438	SP1P012A

APPLICANTS
SecurityProfiling, LLC, Garland, TX;

INVENTORS
Brett M. Oliphant, Plano, TX;
John P. Blignaut, West Lafayette, IN;

**** CONTINUING DATA **************************
This application is a CON of 14/499,230 09/28/2014 PAT 9100431
which is a CIP of 14/138,014 12/21/2013 PAT 9117069
which is a CON of 10/882,852 07/01/2004 ABN
which claims benefit of 60/484,085 07/01/2003

**** FOREIGN APPLICATIONS **************************

**** IF REQUIRED, FOREIGN FILING LICENSE GRANTED **** ** SMALL ENTITY **
08/18/2015

Foreign Priority claimed ☐ Yes ☑ No 35 USC 119(a-d) conditions met ☐ Yes ☑ No Verified and Acknowledged /MADHURI R HERZOG/ Examiner's Signature	☐ Met after Allowance Initials	STATE OR COUNTRY	SHEETS DRAWINGS	TOTAL CLAIMS	INDEPENDENT CLAIMS
		TX	12	21	3

ADDRESS
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025
UNITED STATES

TITLE
COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

FILING FEE RECEIVED		
1480	FEES: Authority has been given in Paper No._____ to charge/credit DEPOSIT ACCOUNT No._____ for following:	☐ All Fees ☐ 1.16 Fees (Filing) ☐ 1.17 Fees (Processing Ext. of time) ☐ 1.18 Fees (Issue) ☐ Other _____ ☐ Credit

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	4858	(determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implement$6 or deploy$4 or install$6 or distribut$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4 or patch$4)	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/10/10 09:40
L2	77	L1 and (user or client or subscriber or customer or administrator) with (choos$4 or select$4 or pick$4 or determin$6 or identify$4 or designat$4) with (remediat$4 or mitigat$4 or patch$4) and (remediat$4 or mitigat$4 or patch$4) with (specific or pertain$4 or based or depend$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/10/10 09:40
L3	67	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and L2	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/10/10
L4	55	L2 and (determin$4 or detect$4 or discover$4 or uncover$4 or find$4 or scan$4 or analy$4 or examin$6) with (attack$4 or denial$2of$2service or intrusion or virus or malware) with (device or computer or target or machine or equipment or end$2point or end$2node or host or terminal)	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/10/10 09:43
L5	51	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and L4	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/10/10 09:55

EAST Search History (Interference)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L6	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implement$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4)	USPAT	ADJ	ON	2017/10/10 09:56

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		and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system).clm.				
L7	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implement$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system and (determin$4 or detect$4 or discover$4 or uncover$4 or find$4 or scan$4 or analy$4 or examin$6) with (attack$4 or denial$2of$2service or intrusion or virus or malware) with (device or computer or target or machine or equipment or end$2point or end$2node or host or terminal)).clm.	USPAT	ADJ	ON	2017/10/10 09:57
L8	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system and (determin$4 or detect$4 or discover$4 or uncover$4 or find$4 or scan$4 or analy$4 or examin$6) with (attack$4 or denial$2of$2service or intrusion or virus or malware) with (device or computer or target or machine or equipment or end$2point or end$2node or host or terminal)).clm.	USPAT	ADJ	ON	2017/10/10 10:00
L9	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc.	USPAT	ADJ	ON	2017/10/10

		and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system).clm.				10:00

10/ 10/ 2017 10:30:36 AM
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Sheet 1 of 1

Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b))	Attorney Docket No. SP1P012A	Application No. 14816931
	Applicant Brett M. Oliphant	Confirmation Number 1044
	Filing Date 08/03/2015	Group Art Unit 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	1	6185689	2001-02-06	Robert E. Todd et al.			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	NPL1	New Briefs, Journal of Research of the National Institute of Standards and Technology, Volume 108, Number 1, January-February 2003, pages 87-102

Examiner Signature	Date Considered
/MADHURI R HERZOG/	10/20/2017

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	Art Unit
	MADHURI HERZOG	2438

CPC- SEARCHED		
Symbol	Date	Examiner
H04L 63/02$, 63/14$	10/10/2017	M.H
G06F 21/5$	10/10/2017	M.H

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner

* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

SEARCH NOTES		
Search Notes	Date	Examiner
Inventor search, Assignee search	10/10/2017	M.H
East search	10/10/2017	M.H
Google Scholar search	10/10/2017	M.H
search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system, patch, exploit, adminstrator, identify, designate	10/10/2017	M.H

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner

	/MADHURI HERZOG/ Primary Examiner.Art Unit 2438

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INTERFERENCE SEARCH			
US Class/ CPC Symbol	**US Subclass / CPC Group**	**Date**	**Examiner**
G06F	21/5$ with search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system, patch, exploit, adminstrator, identify, designate	10/10/2017	M.H
H04L	63/02$, 63/14$ with the above search terms	10/10/2017	M.H

	/MADHURI HERZOG/ Primary Examiner.Art Unit 2438

Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	HERZOG, MADHURI R
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					

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	1							☐

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	HERZOG, MADHURI R
	Attorney Docket Number	SP1P012A

	1	Office Action Summary from U.S. Pat. App. No. 14/816,960 dated 6/2/2017	☐

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	10/10/2017

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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	Art Unit	2438
	Examiner Name	HERZOG, MADHURI R
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

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OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-09-08
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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 the Freedom of Information Act requires disclosure of these record s.

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 inspections 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.

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Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6088804	A	2000-07-11	Hill et al.	Entire Document
	2	6298445	B1	2001-10-02	Shostack et al.	
	3	6301668	B1	2001-10-09	Gleichauf et al.	Entire Document
	4	6907531	B1	2005-06-14	Dodd et al.	
	5	6925443	B1	2005-08-02	Charlie C. Baggett et al.	
	6	6925572	B1	2005-08-02	Amit et al.	
	7	6957348	B1	2005-10-18	Flowers et al.	
	8	7178166	B1	2007-02-13	Taylor et al.	

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	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	9	7331061	B1	2008-02-12	Ramsey et al.	
	10	7610610	B2	2009-10-27	Haeffele et al.	
	11	7913303	B1	2011-03-22	Rouland et al.	
	12	9117069	B2	2015-08-25	Oliphant et al.	
	13	9118708	B2	2015-08-25	Oliphant et al.	

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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010034847	A1	2001-10-25	Stephen	Entire Document
	2	20020112179	A1	2002-08-15	Riordan et al.	Entire Document
	3	20020147803	A1	2002-10-10	Dodd et al.	
	4	20030004689	A1	2003-01-02	Gupta et al.	Entire Document

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	5	20030126472	A1	2003-07-03	Banzhof	
	6	20030188194	A1	2003-10-02	Currie et al.	
	7	20040006704	A1	2004-01-08	Dahlstrom et al.	
	8	20040064726	A1	2004-04-01	Girouard	Entire Document
	9	20040073800	A1	2004-04-15	Shah et al.	Entire Document
	10	20040088581	A1	2004-05-06	Brawn et al.	
	11	20040221176	A1	2004-11-04	Cole	
	12	20060191012	A1	2006-08-24	Banzhof et al.	

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NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Hull, Scott, "GIAC Security Essentials Certification Practical Assignment," Version 1.4b, Option 2, May 31, 2003, found in GIAC Certifications, Global Information Assurance Certification Paper, SANS Institute (2003)	☐
	2	Martin, Robert, "The Vulnerabilities of Developing on the Net", CrossTalk Magazine, April, 2001	☐
	3	Miles Tracy, Wayne Jansen, and Mark McLamon, "Guidelines on Securing Public Web Servers," NIST Special Publication 800-44 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	4	Miles Tracy, Wayne Jansen, and Scott Bisker, "Guidelines on Electronic Mail Security," NIST Special Publication 800-45 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	5	Notice of Allowance from U.S. Pat. App. No. 14/816960 dated 2017-10-04	☐
	6	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-04-14	☐
	7	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-10-11	☐
	8	Peter Mell and Miles C. Tracy, "Procedures for Handling Security Patches," NIST Special Publication 800-40 (Aug 2002), Recommendations of the National Institute of Standards and Technology	☐

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EXAMINER SIGNATURE			
Examiner Signature	/MADHURI R HERZOG/	Date Considered	10/20/2017

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-10-16
Name/Print	Patrick Caldwell	Registration Number	44580

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Sheet 1 of 1

Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b))	Attorney Docket No. SP1P012A	Application No. 14816931
	Applicant Brett M. Oliphant	Confirmation Number 1044
	Filing Date 08/03/2015	Group Art Unit 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
		2015/0271142	09/24/2015	Oliphant et al.			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document

Examiner Signature /MADHURI R HERZOG/	Date Considered 10/20/2017

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

CPC						
Symbol					**Type**	**Version**
H04L		63	/	1433	F	2013-01-01
H04L		63	/	1441	I	2013-01-01
G06F		21	/	577	I	2013-01-01
G06F		21	/	55	I	2013-01-01
H04L		63	/	14	I	2013-01-01
G06F		21	/	554	I	2013-01-01
H04L		63	/	1408	I	2013-01-01
H04L		63	/	02	I	2013-01-01
G06F		21	/	50	I	2013-01-01
H04L		63	/	0263	A	2013-01-01
H04L		63	/	1416	I	2013-01-01
H04L		63	/	20	I	2013-01-01
G06F		21	/	57	I	2013-01-01
H04L		63	/	0227	I	2013-01-01
H04L		63	/	145	I	2013-01-01

CPC Combination Sets							
Symbol				**Type**	**Set**	**Ranking**	**Version**
			/				
			/				

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	10/10/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

U.S. Patent and Trademark Office — Part of Paper No. 20171010

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

US ORIGINAL CLASSIFICATION		INTERNATIONAL CLASSIFICATION										
CLASS	SUBCLASS	CLAIMED					NON-CLAIMED					
		H	0	4	L	29 / 00 (2006.01.01)						

CROSS REFERENCE(S)					
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)				

NONE		Total Claims Allowed:	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	10/10/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

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EX-1010
Page373

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	1	17	17												
2	2	18	18												
3	3	19	19												
4	4	20	20												
5	5	21	21												
6	6	22	22												
7	7														
8	8														
9	9														
10	10														
11	11														
12	12														
13	13														
14	14														
15	15														
16	16														

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	10/10/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

ForcePoint LLC
EX-1010
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Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

CLAIM		DATE								
Final	Original	12/22/2015	07/20/2016	01/04/2017	06/02/2017	10/10/2017				
1	1	✓	=	=	=	=				
2	2	✓	=	=	=	=				
3	3	✓	=	=	=	=				
4	4	✓	=	=	=	=				
5	5	✓	=	=	=	=				
6	6	✓	=	=	=	=				
7	7	✓	=	=	=	=				
8	8	✓	=	=	=	=				
9	9	✓	=	=	=	=				
10	10	✓	=	=	=	=				
11	11	✓	=	=	=	=				
12	12	✓	=	=	=	=				
13	13	✓	=	=	=	=				
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15	15	✓	=	=	=	=				
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20	20	✓	=	=	=	=				
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22	22			=	=	=				

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Page375

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P012A	Application No. 14816931
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brett M. Oliphant	Confirmation Number 1044
(37 CFR §1.98(b))		Filing Date 08/03/2015	Group Art Unit 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	1	6185689	2001-02-06	Robert E. Todd et al.			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	NPL1	New Briefs, Journal of Research of the National Institute of Standards and Technology, Volume 108, Number 1, January-February 2003, pages 87-102

Examiner Signature	Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

Electronic Acknowledgement Receipt

EFS ID:	30685328
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	17-OCT-2017
Filing Date:	03-AUG-2015
Time Stamp:	22:53:34
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	SP1P012A_IDS_XMTL_vF_17-Oct-2017.pdf	57713 049244036e11f9d999b0119ddceb9c9ad0694d98	no	2

Warnings:

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_vF_17-Oct-2017.pdf	28203 b4b993222f625c9602af9a880026dd6d4e8dcd00	no	1
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This is not an USPTO supplied IDS fillable form					
3	Non Patent Literature	NIST_News_Briefs_vR.pdf	16785879 2af1862294a97a62690bab0c982f71465583d3ce	no	16
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Information:					
		Total Files Size (in bytes):	16871795		

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

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

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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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Confirmation No.: 1044
Brett M. Oliphant	Examiner: Madhuri R HERZOG
Application No.: 14/816,931	Art Unit: 2438
File Date: 2015-08-03	Docket No.: SP1P012A
Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Date: Oct 17, 2017

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56 AND 1.97(b)

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

Examiner:

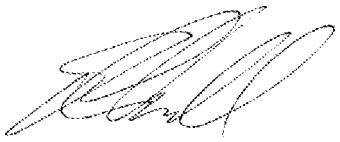
The reference(s) listed in the attached PTO Form 1449, cop(ies) of which is attached (when necessary), may be material to examination of the above-identified patent application. Applicants submit the reference(s) in compliance with their duty of disclosure pursuant to 37 CFR §§ 1.56 and 1.97. The Examiner is requested to make the reference(s) of official record in this application.

Per MPEP 609.02, the "[E]xaminer will consider information which has been considered by the Office in a parent application when examining … a continuation application…[, and a] listing of the information need not be resubmitted in the continuing application unless the applicant desires the information to be printed on the patent." To the extent that any information has been considered by the Office in a parent application of the instant application, it is assumed that, per the above cited MPEP section, the Examiner has considered the same in connection with the instant application. If applicant's assumption is in error or the Examiner requires re-submission of any such information, etc., applicant requests that the Examiner contact the undersigned so that applicant can address the same. With that said, submitted herewith is a re-submission of at least some information, as applicant desires such re-submitted information to be printed on any patent resulting from the instant application. Applicant further discloses

the fact that at least one related parent of the instant application was the subject of litigation that has been recently terminated (EDTX 6:16-cv-01165). This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that the reference(s) indeed constitutes prior art.

This Information Disclosure Statement is believed to be filed within three months of the filing date of a national application other than a continued prosecution application, within three months of the date of entry of the national stage in an international application, before the mailing of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination. Accordingly, it is believed that no fees are

Respectfully submitted,



Dated: 17 Oct 2017

The Caldwell Firm, LLC
PO Box 59655
Dallas, Texas 75229-0655
Telephone: (214) 734-2313
pcaldwell@thecaldwellfirm.com

Patrick E. Caldwell, Esq.
Reg. No. 44,580

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6088804	A	2000-07-11	Hill et al.	Entire Document
	2	6298445	B1	2001-10-02	Shostack et al.	
	3	6301668	B1	2001-10-09	Gleichauf et al.	Entire Document
	4	6907531	B1	2005-06-14	Dodd et al.	
	5	6925443	B1	2005-08-02	Charlie C. Baggett et al.	
	6	6925572	B1	2005-08-02	Amit et al.	
	7	6957348	B1	2005-10-18	Flowers et al.	
	8	7178166	B1	2007-02-13	Taylor et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
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	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	9	7331061	B1	2008-02-12	Ramsey et al.	
	10	7610610	B2	2009-10-27	Haeffele et al.	
	11	7913303	B1	2011-03-22	Rouland et al.	
	12	9117069	B2	2015-08-25	Oliphant et al.	
	13	9118708	B2	2015-08-25	Oliphant et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010034847	A1	2001-10-25	Stephen	Entire Document
	2	20020112179	A1	2002-08-15	Riordan et al.	Entire Document
	3	20020147803	A1	2002-10-10	Dodd et al.	
	4	20030004689	A1	2003-01-02	Gupta et al.	Entire Document

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Page382

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

	5	20030126472	A1	2003-07-03	Banzhof	
	6	20030188194	A1	2003-10-02	Currie et al.	
	7	20040006704	A1	2004-01-08	Dahlstrom et al.	
	8	20040064726	A1	2004-04-01	Girouard	Entire Document
	9	20040073800	A1	2004-04-15	Shah et al.	Entire Document
	10	20040088581	A1	2004-05-06	Brawn et al.	
	11	20040221176	A1	2004-11-04	Cole	
	12	20060191012	A1	2006-08-24	Banzhof et al.	

If you wish to add additional U.S. Published Application citation information please click the Add button.

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

If you wish to add additional Foreign Patent Document citation information please click the Add button

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EX-1010
Page383

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Hull, Scott, "GIAC Security Essentials Certification Practical Assignment," Version 1.4b, Option 2, May 31, 2003, found in GIAC Certifications, Global Information Assurance Certification Paper, SANS Institute (2003)	☐
	2	Martin, Robert, "The Vulnerabilities of Developing on the Net", CrossTalk Magazine, April, 2001	☐
	3	Miles Tracy, Wayne Jansen, and Mark McLamon, "Guidelines on Securing Public Web Servers," NIST Special Publication 800-44 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	4	Miles Tracy, Wayne Jansen, and Scott Bisker, "Guidelines on Electronic Mail Security," NIST Special Publication 800-45 (September 2002), Recommendations of the National Institute of Standards and Technology	☐
	5	Notice of Allowance from U.S. Pat. App. No. 14/816960 dated 2017-10-04	☐
	6	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-04-14	☐
	7	Notice of Allowance from U.S. Pat. App. No. 14/834102 dated 2017-10-11	☐
	8	Peter Mell and Miles C. Tracy, "Procedures for Handling Security Patches," NIST Special Publication 800-40 (Aug 2002), Recommendations of the National Institute of Standards and Technology	☐
If you wish to add additional non-patent literature document citation information please click the Add button			

EXAMINER SIGNATURE			
Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-10-16
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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 the Freedom of Information Act requires disclosure of these record s.

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 inspections 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.

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Page387

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P012A	Application No. 14816931
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brett M. Oliphant	Confirmation Number 1044
(37 CFR §1.98(b))		Filing Date 08/03/2015	Group Art Unit 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
		2015/0271142	09/24/2015	Oliphant et al.			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document

Examiner Signature	Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

Electronic Acknowledgement Receipt	
EFS ID:	30672537
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	16-OCT-2017
Filing Date:	03-AUG-2015
Time Stamp:	21:25:42
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	SP1P012A_IDS_XMTL_vF_16-Oct-2017.pdf	58791 df6e648e00598d4d68bfc3a596798d56bd0aa5f2	no	2
Warnings:					

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_1_vF_16-Oct-2017.pdf	53371 c63e4851cb4431d70a1ed79c983e6d7124157a33	no	7
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4	Non Patent Literature	14816960_SP1P012B_NOA_2017-10-04.pdf	1211132 c8800f8bb35664721eae1f665fc805103dc5c09e	no	26
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Information:					
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Information:					
6	Non Patent Literature	14834102_SP1P009A_NOA_2017-10-11.pdf	1030349 4455999d3581457e32f0218578104b0c92a15f79	no	21
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Information:					
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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

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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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Confirmation No.: 1044
Brett M. Oliphant	Examiner: Madhuri R HERZOG
Application No.: 14/816,931	Art Unit: 2438
File Date: 2015-08-03	Docket No.: SP1P012A
Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Date: Oct 16, 2017

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56 AND 1.97(b)

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

Examiner:

The reference(s) listed in the attached PTO Form 1449, cop(ies) of which is attached (when necessary), may be material to examination of the above-identified patent application. Applicants submit the reference(s) in compliance with their duty of disclosure pursuant to 37 CFR §§ 1.56 and 1.97. The Examiner is requested to make the reference(s) of official record in this application.

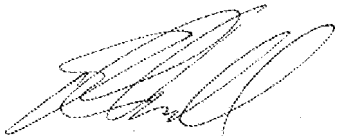
Per MPEP 609.02, the "[E]xaminer will consider information which has been considered by the Office in a parent application when examining … a continuation application…[, and a] listing of the information need not be resubmitted in the continuing application unless the applicant desires the information to be printed on the patent." To the extent that any information has been considered by the Office in a parent application of the instant application, it is assumed that, per the above cited MPEP section, the Examiner has considered the same in connection with the instant application. If applicant's assumption is in error or the Examiner requires re-submission of any such information, etc., applicant requests that the Examiner contact the undersigned so that applicant can address the same. With that said, submitted herewith is a re-submission of at least some information, as applicant desires such re-submitted information to be printed on any patent resulting from the instant application. Applicant further discloses

the fact that at least one related parent of the instant application was the subject of litigation that has been recently terminated. This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that the reference(s) indeed constitutes prior art.

Related patents (e.g. US8266699, US8984644, US9100431, US9117069, US9118708, and US9225686) are the subject of pending litigation (NDTX 3:17-cv-01484). No invalidity contentions have been provided in such litigation. Further, related patents (e.g. US8266699, and US8984644) are the subject of pending inter partes reviews (IPR No. 2017-02191; IPR No. 2017-02192) and the references cited therein are submitted simultaneously herewith.

This Information Disclosure Statement is believed to be filed within three months of the filing date of a national application other than a continued prosecution application, within three months of the date of entry of the national stage in an international application, before the mailing of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

Respectfully submitted,



Dated: 16 Oct 2017

Patrick E. Caldwell, Esq.
Reg. No. 44,580

The Caldwell Firm, LLC
PO Box 59655
Dallas, Texas 75229-0655
Telephone: (214) 734-2313
pcaldwell@thecaldwellfirm.com

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Confirmation No.: 1044
Brett M. Oliphant	Examiner: Madhuri R HERZOG
Application No.: 14/816,931	Art Unit: 2438
File Date: 2015-08-03	Docket No.: SP1P012A
Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Date: October 4, 2017

AMENDMENT

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

Examiner:

As a follow up to the RCE mailed 2017-09-08, please consider the following amendments.

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Amendments to the Claims:

The listing of amended claims follows:

1.-22. (Cancelled)

23. (New) A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to:

receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including:

at least one first potential vulnerability, and

at least one second potential vulnerability;

said actual vulnerability information generated utilizing the potential vulnerability information, by:

identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities;

identify an occurrence in connection with at least one of the plurality of devices;

determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the actual vulnerability information; and

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cause selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and an intrusion prevention system-based occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices;

wherein the at least one configuration involves at least one operating system.

24. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and an intrusion prevention-type option for preventing a connection request; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is capable of being applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the intrusion prevention-type option is capable of being applied to the particular single device by sending a second signal over the at least one network to at least one second component with intrusion prevention-type functionality such that the connection request is prevented at the particular single device.

25. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that at least two options are provided including a firewall-type option, and an intrusion prevention-type option for preventing a connection request; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the intrusion prevention-type option is capable of being applied to the

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plurality of devices for preventing the connection request across the plurality of devices after the receipt of the at least one occurrence packet; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is capable of being applied to the particular single device.

26. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only relevant vulnerabilities prompt user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith.

27. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user.

28. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability.

29. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that different user input is capable of being received prior to

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the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input is capable of resulting in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user-selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the intrusion prevention system-based occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence.

30. (New) The non-transitory computer-readable media of Claim 29, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being supplemented by the second occurrence mitigation action of the intrusion prevention system-based occurrence mitigation type at the first device.

31. (New) The non-transitory computer-readable media of Claim 29, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the second occurrence mitigation action of the intrusion prevention system-based occurrence mitigation type being rolled back at the third device.

32. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that one or more options are provided to a user so that the

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user is capable of selecting each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability.

33. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

determine the occurrence to have a first severity if it is determined that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence;

determine the occurrence to have a second severity if it determined that the at least one actual vulnerability of the at least one of the plurality of devices is not susceptible to being taken advantage of by the occurrence; and

report the occurrence differently based on whether the occurrence is determined to have the first severity or the second severity.

34. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the intrusion prevention system-based occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action.

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35. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type in response to a selection of a second one of the multiple options.

36. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface;

receive a first user input selecting a first one of the options, utilizing the at least one user interface;

based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type;

receive a second user input selecting a second one of the options, utilizing the at least one user interface; and

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based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type.

37. (New) The non-transitory computer-readable media of Claim 36, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type includes sending a second signal to at least one component with intrusion prevention system functionality.

38. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are capable of being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences.

39. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

based on user input, automatically block the occurrence, to prevent an attack from taking advantage of the at least one actual vulnerability while there is no installation of a patch that removes the at least one actual vulnerability.

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40. (New) The non-transitory computer-readable media of Claim 23, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence packet to determine whether a first actual vulnerability of the first device identified by the actual vulnerability information is capable of being taken advantage of by the at least one first occurrence packet, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the actual vulnerability information is capable of being taken advantage of by the at least one second occurrence packet; and the causing the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type is completed by sending a second signal to a second component with an intrusion prevention system type functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device.

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41. (New) The non-transitory computer-readable media of Claim 40, wherein the instructions are configured such that at least one of:

said at least one first data storage includes at least one first database;

said at least one second data storage includes at least one second database;

said potential vulnerability information is received from the at least one second data storage by at least one of:

receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith;

said actual vulnerability information is generated via a vulnerability scan operation;

said first device, said second device, and said third device are part of the same group;

said at least one configuration includes at least one of configuration data, configuration information, or a configuration status;

said at least one configuration includes at least one of a configuration option, a policy setting, or a patch;

said at least one configuration is identified via user input in connection with at least one setting;

said occurrence mitigation by preventing advantage being taken includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that is capable of taking advantage of the at least one actual vulnerability;

said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall;

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said intrusion prevention system-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing intrusion prevention system functionality, or a type that mitigates the occurrence utilizing an intrusion prevention system;

said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability;

said at least one actual vulnerability includes the at least one operating system;

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said actual vulnerabilities include the at least one actual vulnerability;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which includes the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system;

one or more of said different occurrence mitigation actions is capable of being caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types;

one or more of said different occurrence mitigation actions is capable of being caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types;

said different occurrence mitigation actions include different remediation actions;

said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions;

said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack;

said at least one aspect of the at least one first occurrence packet involves at least one of a payload thereof or an IP address;

said at least one aspect of the at least one first occurrence packet is utilized to determine whether the first actual vulnerability of the first device identified by the actual vulnerability information is capable of being taken advantage of by the at least one first occurrence packet, by utilizing the at least one aspect in connection with at least one of a cross-referencing operation or a look-up operation;

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said user input includes separate user input for selecting the first occurrence mitigation action and the second occurrence mitigation action;

said first signal and thee second signal include at least one of response signals, or signals sent in response to a query signal;

said first component with the firewall type functionality includes at least one of a firewall, a gateway with the firewall type functionality, a router with the firewall type functionality, a sensor with the firewall type functionality, or a multiple-security product system with the firewall type functionality;

said second component with the intrusion prevention system type functionality includes at least one of an intrusion prevention system, an intrusion detection system with the intrusion prevention system type functionality, a gateway with the intrusion prevention system type functionality, a router with the intrusion prevention system type functionality, a sensor with the intrusion prevention system type functionality, or a multiple-security product system with the intrusion prevention system type functionality;

said preventing includes at least one of rejecting a request, disallowing an attempt, dropping at least one packet, blocking a potential attack, redirecting a request, setting a policy, affecting a service, changing a configuration option, or installing a patch; or

said automatic response includes a real-time response.

42. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that each of:

said at least one first data storage includes at least one first database;

said at least one second data storage includes at least one second database;

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said potential vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith;

said actual vulnerability information is generated via a vulnerability scan operation;

said actual vulnerability information identifies at least one actual vulnerability;

said actual vulnerability information includes at least one of a vulnerability identifier or information associated with one or more of the actual vulnerabilities;

said first device, said second device, and said third device are part of the same group;

said at least one configuration includes at least one of configuration data, configuration information, or a configuration status;

said at least one configuration includes at least one of a configuration option, a policy setting, or a patch;

said at least one configuration is capable of being utilized for identifying the at least one operating system or an application;

said at least one configuration is identified utilizing information regarding the at least one operating system or an application;

said at least one configuration is identified via user input in connection with at least one setting;

said occurrence mitigation includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that is capable of taking advantage of the at least one actual vulnerability;

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said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall;

said intrusion prevention system-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing intrusion prevention system functionality, or a type that mitigates the occurrence utilizing an intrusion prevention system;

said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first

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actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability;

said at least one actual vulnerability is the at least one operating system;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which is the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system;

one or more of said different occurrence mitigation actions is capable of being caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types;

one or more of said different occurrence mitigation actions is capable of being caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types;

said different occurrence mitigation actions include different remediation actions;

said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions;

said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack;

said at least one actual vulnerability includes at least one of the potential vulnerabilities to which the plurality of devices is determined to be actually vulnerable based on the identified at least one configuration;

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said at least one configuration includes at least one of: service pack information, one or more elements contained in files including at least one of an *.ini or *.conf file, registry information, identification of the at least one operating system, identification of a software version, or identification of software;

said determining that the plurality of devices is actually vulnerable to the at least one actual vulnerability includes at least one of: matching the identified at least one configuration with a guideline associated with at least one update, or cross-referencing an identifier with the identified at least one configuration;

said non-transitory computer-readable media includes a single non-transitory computer readable medium;

one or more of said different occurrence mitigation actions, after a user selection, is automatically applied at a later time;

one or more of said different occurrence mitigation actions puts a policy in place for being utilized at a later time;

one or more of said different occurrence mitigation actions, after an automatic application thereof, is utilized at a later time for the occurrence mitigation;

one of said different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type utilizes an intrusion prevention system to deploy a patch;

one of said different occurrence mitigation actions of the firewall-based occurrence mitigation type utilizes a firewall to deploy a patch utilizing an update component; and

wherein the instructions are configured for use with at least one NOC server, a data warehouse, and an SDK for allowing access to information associated with at least one vulnerability and at least one remediation, and wherein the instructions are configured for determining which devices have vulnerabilities by directly querying a firmware or operating system of the devices.

43. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is caused, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is caused.

44. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively caused for different devices prior to the occurrence.

45. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively caused for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively caused at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the intrusion prevention system-based occurrence mitigation type being selectively caused at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively caused at the third device in response to the occurrence.

46. (New) The non-transitory computer-readable media of Claim 23, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

receive a first user input;

based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type;

receive a second user input; and

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based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type.

47. (New) A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to:

receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including:

at least one first potential vulnerability, and

at least one second potential vulnerability;

said actual vulnerability information generated utilizing the potential vulnerability information, by:

identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities;

identify an occurrence in connection with at least one of the plurality of devices;

determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the actual vulnerability information; and

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permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and an intrusion prevention system-based occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices;

wherein the at least one configuration involves at least one operating system.

48. (New) The non-transitory computer-readable media of Claim 47, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence.

49. (New) The non-transitory computer-readable media of Claim 47, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the intrusion prevention system-based occurrence mitigation type being selectively permitted at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence.

50. (New) The non-transitory computer-readable media of Claim 47, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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receive a first user input;

based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type;

receive a second user input; and

based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type.

51. (New) The non-transitory computer-readable media of Claim 47, wherein the instructions are configured such that different user input is capable of being received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input is capable of resulting in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user-selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the intrusion prevention system-based occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence.

52. (New) The non-transitory computer-readable media of Claim 47, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface;

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receive a first user input selecting a first one of the options, utilizing the at least one user interface;

based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type;

receive a second user input selecting a second one of the options, utilizing the at least one user interface; and

based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type.

53. (New) A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to:

receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including:

at least one first potential vulnerability, and

at least one second potential vulnerability;

said actual vulnerability information generated utilizing the potential vulnerability information, by:

identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration,

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utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities;

display information that is based on the actual vulnerability information;

cause utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and an intrusion mitigation system-based occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices; and

receive an indication that an occurrence has been identified in connection with at least one of the plurality of devices;

wherein the at least one configuration involves at least one operating system.

54. (New) The non-transitory computer-readable media of Claim 53, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is caused for different devices prior to the occurrence.

55. (New) The non-transitory computer-readable media of Claim 53, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is caused for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being caused at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the intrusion mitigation system-based occurrence mitigation type being caused at the second device in response to the occurrence, and the utilization of

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both the first occurrence mitigation action and the second occurrence mitigation action being caused at the third device in response to the occurrence.

56. (New) The non-transitory computer-readable media of Claim 53, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

receive a first user input;

based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type;

receive a second user input; and

based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the intrusion mitigation system-based occurrence mitigation type.

57. (New) The non-transitory computer-readable media of Claim 53, wherein the instructions are configured such that different user input is capable of being received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input is capable of resulting in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user-completed at the first device in response to the occurrence, only a second occurrence mitigation action of the intrusion mitigation system-based occurrence mitigation type being completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being completed at the third device in response to the occurrence.

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58. (New) The non-transitory computer-readable media of Claim 53, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface;

receive a first user input selecting a first one of the options, utilizing the at least one user interface;

based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type;

receive a second user input selecting a second one of the options, utilizing the at least one user interface; and

based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the intrusion mitigation system-based occurrence mitigation type.

59. (New) The non-transitory computer-readable media of Claim 53, wherein the intrusion mitigation system-based occurrence mitigation type includes at least one of an intrusion prevention system-based occurrence mitigation type or an intrusion detection system-based occurrence mitigation type, and the information includes a recommendation.

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Remarks:

Summary

The claims have been clarified. A notice of allowance or a proper prior art showing of all of applicant's claim limitations, in combination with the remaining claim elements, is respectfully requested.

Conclusion

It is believed that all of the pending issues have been addressed. The claims are in condition for allowance.

However, the absence of a reply to a specific rejection, issue, or comment does not signify agreement with or concession of that rejection, issue, or comment. In addition, because the arguments made above may not be exhaustive, there may be reasons for patentability of any or all pending claims (or other claims) that have not been expressed. Still yet, nothing in this reply should be construed as intention to concede any issue with regard to any claim, except as specifically stated in this reply. Finally, it should be noted that no claims are intended to be construed under 35 U.S.C. 112, paragraph 6.

Applicant hereby encloses the appropriate fee for the request for continued examination. Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-5939 (Order No. SP1P012A).

Respectfully submitted,



Dated: 04 Oct 2017

The Caldwell Firm, LLC
PO Box 59655
Dallas, Texas 75229-0655
Telephone: (214) 734-2313
pcaldwell@thecaldwellfirm.com

Patrick E. Caldwell, Esq.
Reg. No. 44,580

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Page419

Electronic Patent Application Fee Transmittal

Application Number:	14816931
Filing Date:	03-Aug-2015
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Filer:	Patrick Edgar Caldwell
Attorney Docket Number:	SP1P012A

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
CLAIMS IN EXCESS OF 20	2202	15	40	600
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension-of-Time:				
Miscellaneous:				
			Total in USD ($)	**600**

Electronic Acknowledgement Receipt	
EFS ID:	30569967
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	04-OCT-2017
Filing Date:	03-AUG-2015
Time Stamp:	20:21:48
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	$600
RAM confirmation Number	100517INTEFSW20223000
Deposit Account	
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Amendment/Req. Reconsideration-After Non-Final Reject	SP1P012A_Amndt_vF_04-Oct-2017.pdf	138781 a6b8072e33026a19473ff659caef689ebfdf61f8	no	26
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30682 4a78918e735ce9fa6decca8929c570caaadef4aa	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	169463		

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.

Doc Code: DIST.E.FILE **Document Description: Electronic Terminal Disclaimer - Filed**	PTO/SB/26 U.S. Patent and Trademark Office Department of Commerce

Electronic Petition Request	**TERMINAL DISCLAIMER TO OBVIATE A DOUBLE PATENTING REJECTION OVER A "PRIOR" PATENT**
Application Number	14816931
Filing Date	03-Aug-2015
First Named Inventor	Brett Oliphant
Attorney Docket Number	SP1P012A
Title of Invention	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

☒ Filing of terminal disclaimer does not obviate requirement for response under 37 CFR 1.111 to outstanding Office Action

☒ This electronic Terminal Disclaimer is not being used for a Joint Research Agreement.

Owner	Percent Interest
SecurityProfiling, LLC	100%

The owner(s) with percent interest listed above 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 of prior patent number(s)

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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 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.

◉ Terminal disclaimer fee under 37 CFR 1.20(d) is included with Electronic Terminal Disclaimer request.

○	I certify, in accordance with 37 CFR 1.4(d)(4), that the terminal disclaimer fee under 37 CFR 1.20(d) required for this terminal disclaimer has already been paid in the above-identified application.

Applicant claims the following fee status:

◉ Small Entity

○ Micro Entity

○ Regular Undiscounted

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.

THIS PORTION MUST BE COMPLETED BY THE SIGNATORY OR SIGNATORIES

I certify, in accordance with 37 CFR 1.4(d)(4) that I am:

◉ An attorney or agent registered to practice before the Patent and Trademark Office who is of record in this application

Registration Number 44580

○ A sole inventor

○ A joint inventor; I certify that I am authorized to sign this submission on behalf of all of the inventors as evidenced by the power of attorney in the application

○ A joint inventor; all of whom are signing this request

Signature	/Patrick Caldwell/
Name	Patrick E. Caldwell

*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.

Electronic Patent Application Fee Transmittal

Application Number:	14816931
Filing Date:	03-Aug-2015
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Filer:	Patrick Edgar Caldwell
Attorney Docket Number:	SP1P012A

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
STATUTORY OR TERMINAL DISCLAIMER	2814	1	160	160
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension-of-Time:				
Miscellaneous:				
			Total in USD ($)	**160**

Doc Code: DISQ.E.FILE
Document Description: Electronic Terminal Disclaimer – Approved

Application No.: 14816931

Filing Date: 03-Aug-2015

Applicant/Patent under Reexamination: Oliphant

Electronic Terminal Disclaimer filed on October 4, 2017

☒ APPROVED

This patent is subject to a terminal disclaimer

☐ DISAPPROVED

Approved/Disapproved by: Electronic Terminal Disclaimer automatically approved by EFS-Web

U.S. Patent and Trademark Office

Electronic Acknowledgement Receipt	
EFS ID:	30569978
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	04-OCT-2017
Filing Date:	03-AUG-2015
Time Stamp:	20:29:30
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	$160
RAM confirmation Number	100517INTEFSW20292900
Deposit Account	
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Terminal Disclaimer-Filed (Electronic)	eTerminal-Disclaimer.pdf	33376 d81a10cf462270c4f18da1b2f3e366262be3f509	no	2
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30666 ab72dddd16d652cdef60d6751199b2c06a2ec8b2	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	64042		

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.

<u>New Applications Under 35 U.S.C. 111</u>
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.
<u>National Stage of an International Application under 35 U.S.C. 371</u>
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.
<u>New International Application Filed with the USPTO as a Receiving Office</u>
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.

Doc code: RCEX
Doc description: Request for Continued Examination (RCE)

PTO/SB/30EFS (07-14)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL
(Submitted Only via EFS-Web)

Application Number	14/816,931	Filing Date	2015-08-03	Docket Number (if applicable)	SP1P012A	Art Unit	2438
First Named Inventor	Brett M. Oliphant			Examiner Name	HERZOG, MADHURI R		

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, to any international application that does not comply with the requirements of 35 U.S.C. 371, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV.

SUBMISSION REQUIRED UNDER 37 CFR 1.114

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

☐ Other _____

☒ Enclosed

☐ Amendment/Reply

☒ Information Disclosure Statement (IDS)

☐ Affidavit(s)/ Declaration(s)

☐ Other _____

MISCELLANEOUS

☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months _____
(Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

☐ Other _____

FEES

☐ **The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No _____

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

☒ Patent Practitioner Signature

☐ Applicant Signature

PTO/SB/30EFS (07-14)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Signature of Registered U.S. Patent Practitioner			
Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-09-08
Name	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.114. 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.

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 the Freedom of Information Act requires disclosure of these records.

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 inspections 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.

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Page433

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	HERZOG, MADHURI R
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Published Application citation information please click the Add button.

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	HERZOG, MADHURI R
	Attorney Docket Number	SP1P012A

	1	Office Action Summary from U.S. Pat. App. No. 14/816,960 dated 6/2/2017	☐

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	HERZOG, MADHURI R
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-09-08
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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 the Freedom of Information Act requires disclosure of these record s.

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 inspections 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.

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Electronic Patent Application Fee Transmittal

Application Number:	14816931
Filing Date:	03-Aug-2015
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Filer:	Patrick Edgar Caldwell
Attorney Docket Number:	SP1P012A

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
RCE- 2ND AND SUBSEQUENT REQUEST	2820	1	850	850
		Total in USD ($)		**850**

Electronic Acknowledgement Receipt	
EFS ID:	30316285
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	08-SEP-2017
Filing Date:	03-AUG-2015
Time Stamp:	22:28:58
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	$850
RAM confirmation Number	091117INTEFSW22320600
Deposit Account	
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Continued Examination (RCE)	SP1P012A_RCE_vF_08-Sep-2017.pdf	39321 ef04dde3816594717ff2a01f5ad789d2543397ba	no	3
Warnings:					
This is not a USPTO supplied RCE SB30 form.					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_vF_08-Sep-2017.pdf	38442 221cca8c4541d7795d99d7e8d4250be95996937c	no	4
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
3	Non Patent Literature	SP1P012B_NOA_060217.pdf	651727 c182374bdfdb50bb439c8cae9c69b5dd7e695107	no	14
Warnings:					
Information:					
4	Fee Worksheet (SB06)	fee-info.pdf	30717 dceb2eb7e649a745cbc3576100b1bfb374150e3e	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	760207		

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.

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

NOTICE OF ALLOWANCE AND FEE(S) DUE

127962 7590 06/08/2017

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	
ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 06/08/2017

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	09/08/2017

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 ENTITY STATUS shown above. If the ENTITY STATUS is shown as SMALL or MICRO, verify whether entitlement to that entity status still applies.

If the ENTITY STATUS is the same as shown above, pay the TOTAL FEE(S) DUE shown above.

If the ENTITY STATUS is changed from that shown above, on PART B - FEE(S) TRANSMITTAL, complete section number 5 titled "Change in Entity Status (from status indicated above)".

For purposes of this notice, small entity fees are 1/2 the amount of undiscounted fees, and micro entity fees are 1/2 the amount of small entity fees.

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.

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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)

127962 7590 06/08/2017
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

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.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	09/08/2017

EXAMINER	ART UNIT	CLASS-SUBCLASS
HERZOG, MADHURI R	2438	726-025000

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 _____
2 _____
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 (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

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 credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. **Change in Entity Status** (from status indicated above)
- ❑ Applicant certifying micro entity status. See 37 CFR 1.29 — NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
- ❑ Applicant asserting small entity status. See 37 CFR 1.27 — NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
- ❑ Applicant changing to regular undiscounted fee status. — NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

PTOL-85 Part B (10-13) Approved for use through 10/31/2013. OMB 0651-0033 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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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
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

127962 7590 06/08/2017

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	

ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 06/08/2017

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

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

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.

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OMB Clearance and PRA Burden Statement for PTOL-85 Part B

The Paperwork Reduction Act (PRA) of 1995 requires Federal agencies to obtain Office of Management and Budget approval before requesting most types of information from the public. When OMB approves an agency request to collect information from the public, OMB (i) provides a valid OMB Control Number and expiration date for the agency to display on the instrument that will be used to collect the information and (ii) requires the agency to inform the public about the OMB Control Number's legal significance in accordance with 5 CFR 1320.5(b).

The information collected by PTOL-85 Part B 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. 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.

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.

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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.
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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.

Notice of Allowability	Application No. 14/816,931	Applicant(s) OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	AIA (First Inventor to File) Status No

-- 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 *04/13/2017*.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on_____.
2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
3. ☒ The allowed claim(s) is/are *1-22*. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   Certified copies:

   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.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ 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. ☒ Notice of References Cited (PTO-892)
2. ☒ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date 01/10/2017 and 04/13/2017
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
4. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
5. ☐ Examiner's Amendment/Comment
6. ☒ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

/MADHURI HERZOG/
Primary Examiner, Art Unit 2438

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DETAILED ACTION

1. The present application is being examined under the pre-AIA first to invent provisions.

2. The text of those sections of Title 35 U.S. Code not included in this section can be found in the prior office action.

3. The prior office actions are incorporated herein by reference. In particular, the observations with respect to claim language, and response to previously presented arguments.

4. Claims 1-22 have been examined and are pending.

Information Disclosure Statement

5. The information disclosure statements (IDSs) submitted on 01/10/2017 and 04/13/2017 are in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statements are being considered by the examiner.

Allowable Subject Matter

6. Claims 1-22 are allowed over prior art of record.

Response to Arguments

7. No remarks or applicant argument have been filed with this response.

Examiner's Statement of Reasons for Allowance

8. The following is an examiner's statement of reasons for allowance:

Independent claims 1, 16 and 20 are allowed for reasons presented by the applicant in pages 13-14 of the Remarks. Claims 2-15, 17-19, 21 and 22 depend on one of the above mentioned independent claims and are therefore allowed by virtue of their dependencies.

Prior art of record Brawn teaches: a management system stores various remediation techniques corresponding to various vulnerabilities. The management system transmits an interrogation program to the client that attempts to exploit a known vulnerability present in the software of the client, determines whether the vulnerability is exploited and transmits a remediation program if the vulnerability is exploited. Prior art Banzhof1 teaches: Constructing remediation signatures such as patches or fixes to remediate a vulnerability. IT or security personnel select which remediation signatures to deploy to client computers. Prior art of record Banzhof2 teaches displaying vulnerabilities to an administrator.

However, Brawn, Banzhof1 and Banzhof2 fail to teach "said apparatus configured such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an operating system", i.e., the prior arts fail to teach identifying a remediation technique based on the operating system.

None of the prior art of record, either taken by itself or in any combination, would have anticipated or made obvious the invention of the present application at or before the time it was filed.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled “Comments on Statement of Reasons for Allowance.”

Conclusion

9. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

US 20040003266 to Moshir et al: Methods, systems, and configured storage media are provided for discovering software updates, discovering if a given computer can use the software update, and then updating the computers with the software as needed automatically across a network without storing the updates on an intermediate machine within the network.

US 20040210653 to Kanoor et al: A method and system for patch management. The method and system automatically determines a set of patches applicable to a target device and initiates transfer, if necessary, to the target device and records which patches if any, have been transferred to the target device.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MADHURI HERZOG whose telephone number is (571)270-3359. The examiner can normally be reached on M-F from 8:30am - 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on 571-272-3787. 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.

/MADHURI HERZOG/
Primary Examiner, Art Unit 2438

Notice of References Cited	Application/Control No. 14/816,931	Applicant(s)/Patent Under Reexamination OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
*	A	US-2004/0210653 A1	10-2004	Kanoor, Madhu	G06F8/65	709/223
*	B	US-2004/0003266 A1	01-2004	Moshir, Sean	G06F8/65	713/191
	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	CPC Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		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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Page452

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No.	Application No.
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		SP1P012A	14/816,931
		Applicant: Brett Oliphant	
		Filing Date: 08-03-2015	Group Art Unit: 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	1	Press Release "New SecurityProfiling Anti-Vulnerability Technology Thwarts Hackers" SecurityProfiling (released April 3, 2002, internet archive copy dated April 29, 2002), available at https://web.archive.org/web/20020429014824/http://securityprofiling.com/press4-03-02.htm
	2	Webpage "Patching across the Enterprise" Information Security Magazine (February 2002, internet archive copy dated June 11, 2002), available at https://web.archive.org/web/20020611094355/http://www.infosecuritymag.com/2002/feb/features_sidebar1.shtml
	3	Webpage "News" tab archived copy of www.securityprofiling.com/news.htm (August 2, 2002, internet archive copy dated August 2, 2002), available at https://web.archive.org/web/20020802143928/http://www.securityprofiling.com/news.htm

Examiner Signature	Date Considered
/MADHURI R HERZOG/	06/02/2017

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b))	Attorney Docket No. SP1P012A	Application No. 14/816,931
	Applicant Brett Oliphant	
	Filing Date 08-03-2015	Group Art Unit 2438

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	4	Webpage "What is Anti-VulnerabilityTM Technology?" SecurityProfiling (April 5, 2002, internet archive copy dated April 5, 2002), available at https://web.archive.org/web/20020405174405/http://securityprofiling.com/antivulnerability.htm
	5	Webpage "SysUpdate" SecurityProfiling (April 5, 2002, internet archive dated April 5, 2002), available at https://web.archive.org/web/20020405201602/http://securityprofiling.com/sysupdate.htm
	6	Webpage "SecurityProfiling's Anti-Vulnerability Technology" at Indiana Information Technology Exposition and Conference, SecurityProfiling (June 5, 2002), available at https://web.archive.org/web/20020802143928/http://www.securityprofiling.com/news.htm
	7	Press Release "Hackers Thwarted with SecurityProfiling's Anti-Vulnerability Technology" SecurityProfiling (July 1, 2002, internet archive copy dated November 22, 2002), available at https://web.archive.org/web/20021122000803/http://www.securityprofiling.com/press7-01-02.htm
	8	Webpage "LogBoss" SecurityProfiling (June 8, 2002, internet archive copy dated June 8, 2002), available at https://web.archive.org/web/20020608001441/http://www.securityprofiling.com/logboss.htm
	9	Press Release "SecurityProfiling Introduces New Network Software" SecurityProfiling (February 28, 2002, internet archive copy dated June 8, 2002), available at https://web.archive.org/web/20020608162907/http://www.securityprofiling.com/press2-28-02.htm
	10	Webpage "News" SecurityProfiling (internet archive copy dated December 9, 2002), available at https://web.archive.org/web/20021209114707/http://securityprofiling.com/news.htm

Examiner Signature /MADHURI R HERZOG/	Date Considered 06/02/2017
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Disclosure Form (PTO-1449)

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Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Not for submission under 37 CFR 1.99)

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	HERZOG, MADHURI R
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	7610610		2009-10-27	Haeffele et al	
	2	8015611		2011-09-06	Haeffele et al	
	3	7913303		2011-03-22	Rouland et al	
	4	6925572		2005-08-02	Amit et al	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030126472		2003-07-03	Carl Banzhof	
	2	20040006704		2004-01-08	Dahlstrom et al	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	HERZOG, MADHURI R
	Attorney Docket Number	SP1P012A

	3	20040221176		2004-11-04	Eric Cole	

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FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Office Action Summary from US Pat App No 14/834,170 dated 3/24/2017	☐

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EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	06/02/2017

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	HERZOG, MADHURI R
Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-04-13
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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:

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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.

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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 inspections 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.

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BIB DATA SHEET

CONFIRMATION NO. 1044

SERIAL NUMBER	FILING or 371(c) DATE RULE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
14/816,931	08/03/2015	726	2438	SP1P012A

APPLICANTS
SecurityProfiling, LLC, Garland, TX;

INVENTORS
Brett M. Oliphant, Plano, TX;
John P. Blignaut, West Lafayette, IN;

**** CONTINUING DATA **************************
This application is a CON of 14/499,230 09/28/2014 PAT 9100431
which is a CIP of 14/138,014 12/21/2013 PAT 9117069
which is a CON of 10/882,852 07/01/2004 ABN
which claims benefit of 60/484,085 07/01/2003

**** FOREIGN APPLICATIONS **************************

**** IF REQUIRED, FOREIGN FILING LICENSE GRANTED **** ** SMALL ENTITY **
08/18/2015

Foreign Priority claimed ☐ Yes ☑ No 35 USC 119(a-d) conditions met ☐ Yes ☑ No Verified and Acknowledged /MADHURI R HERZOG/ Examiner's Signature	☐ Met after Allowance Initials	STATE OR COUNTRY	SHEETS DRAWINGS	TOTAL CLAIMS	INDEPENDENT CLAIMS
		TX	12	21	3

ADDRESS
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025
UNITED STATES

TITLE
COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

FILING FEE RECEIVED		
880	FEES: Authority has been given in Paper No._____ to charge/credit DEPOSIT ACCOUNT No._____ for following:	☐ All Fees ☐ 1.16 Fees (Filing) ☐ 1.17 Fees (Processing Ext. of time) ☐ 1.18 Fees (Issue) ☐ Other _____ ☐ Credit

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

CPC						
Symbol					**Type**	**Version**
H04L		63	/	1433	F	2013-01-01
H04L		63	/	1441	I	2013-01-01
G06F		21	/	577	I	2013-01-01
G06F		21	/	55	I	2013-01-01
H04L		63	/	14	I	2013-01-01
G06F		21	/	554	I	2013-01-01
H04L		63	/	1408	I	2013-01-01
H04L		63	/	02	I	2013-01-01
G06F		21	/	50	I	2013-01-01
H04L		63	/	0263	A	2013-01-01
H04L		63	/	1416	I	2013-01-01
H04L		63	/	20	I	2013-01-01
G06F		21	/	57	I	2013-01-01
H04L		63	/	0227	I	2013-01-01
H04L		63	/	145	I	2013-01-01

CPC Combination Sets							
Symbol				**Type**	**Set**	**Ranking**	**Version**
			/				
			/				

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	06/02/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

US ORIGINAL CLASSIFICATION		INTERNATIONAL CLASSIFICATION										
CLASS	SUBCLASS	CLAIMED					NON-CLAIMED					
		H	0	4	L	29 / 00 (2006.01.01)						

CROSS REFERENCE(S)					
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)				

NONE		Total Claims Allowed:	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	06/02/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

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Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	1	17	17												
2	2	18	18												
3	3	19	19												
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14	14														
15	15														
16	16														

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	06/02/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

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Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

CLAIM		DATE								
Final	Original	12/22/2015	07/20/2016	01/04/2017	06/02/2017					
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4	4	✓	=	=	=					
5	5	✓	=	=	=					
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21	21	✓	=	=	=					
22	22			=	=					

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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	4609	(determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implement$6 or deploy$4 or install$6 or distribut$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4 or patch$4)	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/06/02 09:30
L2	74	L1 and (user or client or subscriber or customer or administrator) with (choos$4 or select$4 or pick$4 or determin$6 or identify$4 or designat$4) with (remediat$4 or mitigat$4 or patch$4) and (remediat$4 or mitigat$4 or patch$4) with (specific or pertain$4 or based or depend$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/06/02 09:30
L3	66	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and L2	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/06/02 10:20
L6	53	L2 and (determin$4 or detect$4 or discover$4 or uncover$4 or find$4 or scan$4 or analy$4 or examin$6) with (attack$4 or denial$2of$2service or intrusion or virus or malware) with (device or computer or target or machine or equipment or end$2point or end$2node or host or terminal)	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/06/02 13:31
L7	51	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and L6	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/06/02 13:31

EAST Search History (Interference)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L8	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implenat$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with	USPAT	ADJ	ON	2017/06/02 13:48

		(mitigat$4 or remediat$4) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system).clm.				
L9	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implement$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system).clm.	USPAT	ADJ	ON	2017/06/02 13:53
L10	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (application or apply$4 or administer$5 or implement$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system and (determin$4 or detect$4 or discover$4 or uncover$4 or find$4 or scan$4 or analy$4 or examin$6) with (attack$4 or denial$2of$2service or intrusion or virus or malware) with (device or computer or target or machine or equipment or end$2point or end$2node or host or terminal)).clm.	USPAT	ADJ	ON	2017/06/02 13:53
L11	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4	USPAT	ADJ	ON	2017/06/02 13:55

		or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system and (determin$4 or detect$4 or discover$4 or uncover$4 or find$4 or scan$4 or analy$4 or examin$6) with (attack$4 or denial$2of$2service or intrusion or virus or malware) with (device or computer or target or machine or equipment or end$2point or end$2node or host or terminal)).clm.				
L12	1	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with (vulnerabilit$4 or exploit) and (user or client or customer or subscriber or administrator) with (select$4 or choos$4 or pick$4 or choice or input$4 or identify$4 or designat$4 or determin$6) with (mitigat$4 or remediat$4 or patch$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4 or patch$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system).clm.	USPAT	ADJ	ON	2017/06/02 13:56

6/2/2017 2:28:02 PM
C:\Users\mherzog\Documents\EAST\Workspaces\App14816931.wsp

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	Art Unit
	MADHURI HERZOG	2438

CPC- SEARCHED		
Symbol	Date	Examiner
H04L 63/02$, 63/14$	6/2/2017	M.H
G06F 21/5$	6/2/2017	M.H

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner

SEARCH NOTES		
Search Notes	Date	Examiner
Inventor search, Assignee search	6/2/2017	M.H
East search	6/2/2017	M.H
Google Scholar search	6/2/2017	M.H
search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system, patch, exploit, adminstrator, identify, designate	6/2/2017	M.H

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner

	/MADHURI HERZOG/ Primary Examiner.Art Unit 2438

INTERFERENCE SEARCH			
US Class/ CPC Symbol	**US Subclass / CPC Group**	**Date**	**Examiner**
G06F	21/5$ with search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system, patch, exploit, adminstrator, identify, designate	6/2/2017	M.H
H04L	63/02$, 63/14$ with the above search terms	6/2/2017	M.H

	/MADHURI HERZOG/ Primary Examiner.Art Unit 2438

Doc code: RCEX
Doc description: Request for Continued Examination (RCE)

PTO/SB/30EFS (07-14)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL
(Submitted Only via EFS-Web)

Application Number	14/816,931	Filing Date	2015-08-03	Docket Number (if applicable)	SP1P012A	Art Unit	2438
First Named Inventor	Brett M. Oliphant			Examiner Name	HERZOG, MADHURI R		

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, to any international application that does not comply with the requirements of 35 U.S.C. 371, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV.

SUBMISSION REQUIRED UNDER 37 CFR 1.114

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

☐ Other _____

☒ Enclosed

☐ Amendment/Reply

☒ Information Disclosure Statement (IDS)

☐ Affidavit(s)/ Declaration(s)

☐ Other _____

MISCELLANEOUS

☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months _____
(Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

☐ Other _____

FEES

☐ **The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No _____

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

☒ Patent Practitioner Signature

☐ Applicant Signature

PTO/SB/30EFS (07-14)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Signature of Registered U.S. Patent Practitioner			
Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-04-13
Name	Patrick E. Caldwell, Esq.	Registration Number	44580

This collection of information is required by 37 CFR 1.114. 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.

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 the Freedom of Information Act requires disclosure of these records.

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 inspections 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.

PTO/SB/08a (03-15)
Approved for use through 07/31/2016. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	HERZOG, MADHURI R
Attorney Docket Number	SP1P012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	7610610		2009-10-27	Haeffele et al	
	2	8015611		2011-09-06	Haeffele et al	
	3	7913303		2011-03-22	Rouland et al	
	4	6925572		2005-08-02	Amit et al	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030126472		2003-07-03	Carl Banzhof	
	2	20040006704		2004-01-08	Dahlstrom et al	

ForcePoint LLC
EX-1010
Page472

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	HERZOG, MADHURI R
	Attorney Docket Number	SP1P012A

	3	20040221176		2004-11-04	Eric Cole	

If you wish to add additional U.S. Published Application citation information please click the Add button.

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Office Action Summary from US Pat App No 14/834,170 dated 3/24/2017	☐

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	HERZOG, MADHURI R
	Attorney Docket Number	SP1P012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2017-04-13
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

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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.

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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.

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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

Application Number:	14816931
Filing Date:	03-Aug-2015
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Filer:	Patrick Edgar Caldwell
Attorney Docket Number:	SP1P012A

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
RCE- 2ND AND SUBSEQUENT REQUEST	2820	1	850	850
		Total in USD ($)		**850**

Electronic Acknowledgement Receipt	
EFS ID:	28925829
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	13-APR-2017
Filing Date:	03-AUG-2015
Time Stamp:	20:36:17
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	$850
RAM confirmation Number	041417INTEFSW20375900
Deposit Account	
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Continued Examination (RCE)	SP1P012A_RCE_vF_13-Apr-2017.pdf	37557 5e24794b44ccb1b2a77704395ac6c5aaed98a88c	no	3
Warnings:					
This is not a USPTO supplied RCE SB30 form.					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	SP1P012A_IDS_vF_13-Apr-2017.pdf	125396 b31cb891c1ea4a4ef3c34880272784e08e477b19	no	4
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
3	Non Patent Literature	SP1P020A_OA_3-24-2017.pdf	94137 6f6c7d0eb807d638415225b30aa61c73a24fe754	no	15
Warnings:					
Information:					
4	Fee Worksheet (SB06)	fee-info.pdf	30717 b5a9c936a9c2b16782f649bb35812d7bc56c1e20	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	287807		

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.

PTO/SB/06 (09-11)
Approved for use through 1/31/2014. OMB 0651-0032
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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 14/816,931	Filing Date 08/03/2015	☐ To be Mailed

ENTITY: ☐ LARGE ☒ SMALL ☐ MICRO

APPLICATION AS FILED – PART I

FOR	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA	RATE ($)	FEE ($)
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A	
☐ SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A	N/A	
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A	
TOTAL CLAIMS (37 CFR 1.16(i))	minus 20 =	*	x $ =	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	x $ =	
☐ APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 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).			
☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))				
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL	

APPLICATION AS AMENDED – PART II

AMENDMENT **11/10/2016**

	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	RATE ($)	ADDITIONAL FEE ($)
Total (37 CFR 1.16(i))	* 22	Minus	** 21	= 1	x $40 =	40
Independent (37 CFR 1.16(h))	* 3	Minus	*** 3	= 0	x $210 =	0
☐ Application Size Fee (37 CFR 1.16(s))						
☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						
					TOTAL ADD'L FEE	**40**

AMENDMENT **04/13/2017**

	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	RATE ($)	ADDITIONAL FEE ($)
Total (37 CFR 1.16(i))	* 22	Minus	** 22	= 0	x $40 =	0
Independent (37 CFR 1.16(h))	* 3	Minus	*** 3	= 0	x $210 =	0
☐ Application Size Fee (37 CFR 1.16(s))						
☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						
					TOTAL ADD'L FEE	**0**

* 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.

LIE
JEFFERY L. OLSEN

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.

UNITED STATES PATENT AND TRADEMARK OFFICE

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

NOTICE OF ALLOWANCE AND FEE(S) DUE

127962 7590 01/13/2017

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	
ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 01/13/2017

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	04/13/2017

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 ENTITY STATUS shown above. If the ENTITY STATUS is shown as SMALL or MICRO, verify whether entitlement to that entity status still applies.

If the ENTITY STATUS is the same as shown above, pay the TOTAL FEE(S) DUE shown above.

If the ENTITY STATUS is changed from that shown above, on PART B - FEE(S) TRANSMITTAL, complete section number 5 titled "Change in Entity Status (from status indicated above)".

For purposes of this notice, small entity fees are 1/2 the amount of undiscounted fees, and micro entity fees are 1/2 the amount of small entity fees.

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.

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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)

127962 7590 01/13/2017
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

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.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

TITLE OF INVENTION: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	04/13/2017

EXAMINER	ART UNIT	CLASS-SUBCLASS
HERZOG, MADHURI R	2438	726-025000

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 _____
2 _____
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 (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

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 credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. **Change in Entity Status** (from status indicated above)
- ❑ Applicant certifying micro entity status. See 37 CFR 1.29 — NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
- ❑ Applicant asserting small entity status. See 37 CFR 1.27 — NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
- ❑ Applicant changing to regular undiscounted fee status. — NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

PTOL-85 Part B (10-13) Approved for use through 10/31/2013. OMB 0651-0033 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/816,931	08/03/2015	Brett M. Oliphant	SP1P012A	1044

127962 7590 01/13/2017

Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

EXAMINER	
HERZOG, MADHURI R	
ART UNIT	PAPER NUMBER
2438	

DATE MAILED: 01/13/2017

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

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

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.

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OMB Clearance and PRA Burden Statement for PTOL-85 Part B

The Paperwork Reduction Act (PRA) of 1995 requires Federal agencies to obtain Office of Management and Budget approval before requesting most types of information from the public. When OMB approves an agency request to collect information from the public, OMB (i) provides a valid OMB Control Number and expiration date for the agency to display on the instrument that will be used to collect the information and (ii) requires the agency to inform the public about the OMB Control Number's legal significance in accordance with 5 CFR 1320.5(b).

The information collected by PTOL-85 Part B 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. 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.

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.

Notice of Allowability	Application No. 14/816,931	Applicant(s) OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	AIA (First Inventor to File) Status No

-- 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 *11/10/2016*.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on_____.
2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
3. ☒ The allowed claim(s) is/are *1-22*. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   Certified copies:

   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.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ 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. ☐ Notice of References Cited (PTO-892)
2. ☒ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date 11/10/2016
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
4. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
5. ☐ Examiner's Amendment/Comment
6. ☒ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

/MADHURI HERZOG/
Primary Examiner, Art Unit 2438

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DETAILED ACTION

1. The present application is being examined under the pre-AIA first to invent provisions.

2. The text of those sections of Title 35 U.S. Code not included in this section can be found in the prior office action.

3. The prior office actions are incorporated herein by reference. In particular, the observations with respect to claim language, and response to previously presented arguments.

4. Claims 1-22 have been examined and are pending.

Information Disclosure Statement

5. The information disclosure statements (IDSs) submitted on 11/10/2016 are in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statements are being considered by the examiner.

Allowable Subject Matter

6. Claims 1-22 are allowed over prior art of record.

Response to Arguments

7. Applicant's arguments, see pages 13-14 of the Remarks, filed on 11/10/2016, have been fully considered and are persuasive.

Examiner's Statement of Reasons for Allowance

8. The following is an examiner's statement of reasons for allowance:

Independent claims 1, 16 and 20 are allowed for reasons presented by the applicant in pages 13-14 of the Remarks. Claims 2-15, 17-19, 21 and 22 depend on one of the above mentioned independent claims and are therefore allowed by virtue of their dependencies.

Prior art of record Brawn teaches: a management system stores various remediation techniques corresponding to various vulnerabilities. The management system transmits an interrogation program to the client that attempts to exploit a known vulnerability present in the software of the client, determines whether the vulnerability is exploited and transmits a remediation program if the vulnerability is exploited. Prior art Banzhof1 teaches: Constructing remediation signatures such as patches or fixes to remediate a vulnerability. IT or security personnel select which remediation signatures to deploy to client computers. Prior art of record Banzhof2 teaches displaying vulnerabilities to an administrator.

However, Brawn, Banzhof1 and Banzhof2 fail to teach "said apparatus configured such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an operating system", i.e., the prior arts fail to teach identifying a remediation technique based on the operating system.

None of the prior art of record, either taken by itself or in any combination, would have anticipated or made obvious the invention of the present application at or before the time it was filed.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled “Comments on Statement of Reasons for Allowance.”

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MADHURI HERZOG whose telephone number is (571)270-3359. The examiner can normally be reached on M-F from 8:30am - 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner’s supervisor, Taghi Arani can be reached on 571-272-3787. 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.

/MADHURI HERZOG/
Primary Examiner, Art Unit 2438

Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No.	Application No.
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		SP1P0012A	14/816,931
		Applicant: Brett M. Oliphant	
		Filing Date: 08/03/2015	Group Art Unit: 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	1	5,210,854	05/11/1993	Beaverton et al.			
	2	5,249,705	10/05/1993	Gates			
	3	5,253,782	10/19/1993	Gates et al.			
	4	5,272,754	12/21/1993	Boerbert			
	5	5,276,735	01/04/1994	Boebert et al.			
	6	5,361,359	11/01/1994	Tajalli et al.			
	7	5,499,297	03/12/1996	Boebert			
	8	5,502,766	03/26/1996	Boebert et al.			
	9	5,557,346	09/17/1996	Lipner et al.			
	10	5,557,765	09/17/1996	Lipner et al.			
	11	5,596,718	01/21/1997	Boebert et al.			
	12	5,612,503	03/18/1997	Sepp			
	13	5,640,454	06/17/1997	Lipner et al.			
	14	5,662,291	09/02/1997	Sepp et al.			
	15	5,696,907	12/09/1997	Tom			
	16	5,745,573	04/28/1998	Lipner et al.			
	17	5,796,836	08/18/1998	Markham			
	18	5,819,275	10/06/1998	Badger et al.			
	19	5,822,435	10/13/1998	Boebert et al.			
	20	5,831,987	11/03/1998	Spilo			
	21	5,864,683	01/26/1999	Boebert et al.			
	22	5,867,647	02/02/1999	Haigh et al.			
	23	5,913,024	06/15/1999	Green et al.			
	24	5,915,087	06/22/1999	Hammond et al.			
	25	5,918,018	06/29/1999	Gooderum et al.			

Examiner Signature	Date Considered
/MADHURI R HERZOG/	01/04/2017

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 08/03/2015	Group Art Unit 2438

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	28	5,968,133	10/19/1999	Latham et al.			
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	272	7,035,544	04/25/2006	Won			
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	274	7,039,702	05/02/2006	Churchyard			
	275	7,039,721	05/02/2006	Wu et al.			

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Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012A	Application No. 14/816,931
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		Filing Date 08/03/2015	Group Art Unit 2438

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Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brett M. Oliphant	
(37 CFR §1.98(b))		Filing Date 08/03/2015	Group Art Unit 2438

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Examiner Signature	Date Considered
/MADHURI R HERZOG/	01/04/2017

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Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary)	Applicant Brett M. Oliphant	
(37 CFR §1.98(b))	Filing Date 08/03/2015	Group Art Unit 2438

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
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	766	2011/0173677	07/14/2011	Tarbotton Lee Codel Lawson et al.			
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Examiner Signature	Date Considered
/MADHURI R HERZOG/	01/04/2017

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U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
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Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

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	1	CERT Incident Note IN-2000-07, "Exploitation of Hidden File Extensions", July 27, 2000, at CERT.org, pp. 1-3
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	3	"Review SPQUERY", in Network Computing, November 2000, www.networkcomputer.co.uk/back_iss/prod_update/reviews/spquery4.1.htm
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/MADHURI R HERZOG/	01/04/2017

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	Filing Date 08/03/2015	Group Art Unit 2438

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
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Examiner Signature	Date Considered
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PTO/SB/08a (01-10)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P0012A

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6957348		2005-12-18	Flowers et al.	
	2	6766458		2004-07-20	Harris, et al.	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P0012A

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	12	8266320		2012-09-11	Bell et al.	
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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20020138416		2002-09-26	Lovejoy et al.	
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Examiner Name	Madhuri R HERZOG
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Application Number	14816931
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Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P0012A

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FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
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Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P0012A

	1	Office Action Summary in U.S. Pat. App. No. 14/138,014 dated 2/24/2015	☐
	2	Office Action Summary in U.S. Pat. App. No. 14/499,226 dated 2/20/2015	☐
	3	Office Action Summary in U.S. Pat. App. No. 14/499,227 dated 01/27/2015	☐
	4	Office Action Summary in U.S. Pat. App. No. 14/499,230 dated 01/08/2015	☐
	5	Office Action Summary in U.S. Pat. App. No. 14/499,234 dated 02/10/2015	☐
	6	Office Action Summary in U.S. Pat. App. No. 14/499,235 dated 01/21/2015	☐
	7	Office Action Summary in U.S. Pat. App. No. 14/499,237 dated 01/20/2015	☐
	8	Office Action Summary in U.S. Pat. App. No. 14/499,241 dated 3/4/2015	☐
	9	Office Action Summary in U.S. Pat. App. No. 14/499,244 dated 2/23/2015	☐
	10	Office Action Summary in U.S. Pat. App. No. 14/499,246 dated 01/28/2015	☐
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	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P0012A

	12	Interview Summary in U.S. Pat. App. No. 14/138,014 dated 2/9/2015	☐
	13	Interview Summary in U.S. Pat. App. No. 14/138,230 dated 2/9/2015	☐
	14	Interview Summary in U.S. Pat. App. No. 14/138,246 dated 2/3/2015	☐

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EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	01/04/2017

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P0012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

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☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2016-11-10
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 08/03/2015	Group Art Unit 2436

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	1	U.S. Prov. Pat. App. No. 60/484,085 filed 07/01/2003
	2	U.S. Pat. App. No. 10/882,588 filed 07/01/2004
	3	Office Action Summary in US Pat. App. No. 10/882,588 dated 05/29/2009
	4	Office Action Summary in US Pat. App. No. 10/882,588 dated 10/12/2010
	5	Office Action Summary in US Pat. App. No. 10/882,588 dated 06/12/2012
	6	Office Action Summary in US Pat. App. No. 10/882,588 dated 01/08/2010
	7	Office Action Summary in US Pat. App. No. 10/882,588 dated 04/15/2011
	8	Office Action Summary in US Pat. App. No. 10/882,588 dated 06/24/2010
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	10	Office Action Summary in US Pat. App. No. 10/882,588 dated 10/20/2011
	11	U.S. Pat. App. No. 10/882,788 filed 07/01/2004
	12	Office Action Summary in US Pat. App. No. 10/882,788 dated 12/22/2008
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	14	Office Action Summary in US Pat. App. No. 10/882,788 dated 10/04/2007
	15	U.S. Pat. App. No. 10/882,852 filed 07/01/2004
	16	Office Action Summary in US Pat. App. No. 10/882,852 dated 5/15/2013
	17	Office Action Summary in US Pat. App. No. 10/882,852 dated 6/01/2010

Examiner Signature	Date Considered
/Madhuri Herzog/ (01/04/2017)	01/04/2017

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 08/03/2015	Group Art Unit 2436

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	18	Office Action Summary in US Pat. App. No. 10/882,852 dated 8/14/2008
	19	Office Action Summary in US Pat. App. No. 10/882,852 dated 6/24/2009
	20	Office Action Summary in US Pat. App. No. 10/882,852 dated 11/01/2007
	21	U.S. Pat. App. No. 10/882,853 filed 07/01/2004
	22	Office Action Summary in US Pat. App. No. 10/882,853 dated 3/18/2009
	23	Office Action Summary in US Pat. App. No. 10/882,853 dated 4/30/2008
	24	Office Action Summary in US Pat. App. No. 10/882,853 dated 10/17/2008
	25	Office Action Summary in US Pat. App. No. 10/882,853 dated 10/31/2007
	26	U.S. Pat. App. No. 10/883,376 filed 07/01/2004
	27	Office Action Summary in US Pat. App. No. 10/883,376 dated 9/11/2008
	28	Office Action Summary in US Pat. App. No. 10/883,376 dated 5/06/2008
	29	U.S. Pat. App. No. 10/884,329 filed 07/01/2004
	30	Office Action Summary in US Pat. App. No. 10/884,329 dated 11/29/2007
	31	U.S. Pat. App. No. 14/138,014 filed 12/31/2013
	32	Office Action Summary in US Pat. App. No. 14/138,014 dated 8/28/2014
	33	U.S. Pat. App. No. 14/499,226 filed 9/28/2014
	34	U.S. Pat. App. No. 14/499,227 filed 9/28/2014
	35	Office Action Summary in US Pat. App. No. 14/499,227 dated 12/15/2014
	36	U.S. Pat. App. No. 14/499,230 filed 9/28/2014
	37	U.S. Pat. App. No. 14/499,234 filed 9/28/2014
	38	U.S. Pat. App. No. 14/499,235 filed 9/28/2014
	39	Office Action Summary in US Pat. App. No. 14/499,235 dated 12/15/2014
	40	U.S. Pat. App. No. 14/499,236 filed 9/28/2014
	41	Office Action Summary in US Pat. App. No. 14/499,236 dated 12/30/2014
	42	U.S. Pat. App. No. 14/499,237 filed 9/28/2014
	43	U.S. Pat. App. No. 14/499,239 filed 9/29/2014
	44	U.S. Pat. App. No. 14/499,241 filed 9/29/2014

Examiner Signature	/Madhuri Herzog/ (01/04/2017)	Date Considered	01/04/2017

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form (PTO-1449)

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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 08/03/2015	Group Art Unit 2436

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	45	Office Action Summary in US Pat. App. No. 14/499,241 dated 12/15/2014
	46	U.S. Pat. App. No. 14/499,244 filed 9/29/2014
	47	U.S. Pat. App. No. 14/499,246 filed 9/29/2014
	48	U.S. Pat. App. No. 14/499,250 filed 9/29/2014

Examiner Signature /MADHURI R HERZOG/	Date Considered 01/04/2017

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	Art Unit
	MADHURI HERZOG	2438

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

CLAIM		DATE								
Final	Original	12/22/2015	07/20/2016	01/04/2017						
1	1	✓	=	=						
2	2	✓	=	=						
3	3	✓	=	=						
4	4	✓	=	=						
5	5	✓	=	=						
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20	20	✓	=	=						
21	21	✓	=	=						
22	22			=						

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Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	Art Unit
	MADHURI HERZOG	2438

CPC- SEARCHED		
Symbol	Date	Examiner
H04L 63/02all, 63/14all	1/4/2017	M.H
G06F 21/5all	1/4/2017	M.H

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
726	1, 11-14, 22-25	1/4/2017	M.H
713	187-188	1/4/2017	M.H

SEARCH NOTES		
Search Notes	Date	Examiner
Inventor search, Assignee search	1/4/2017	M.H
East search	1/4/2017	M.H
Google Scholar search	1/4/2017	M.H
search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system	1/4/2017	M.H

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner

	/MADHURI HERZOG/ Primary Examiner.Art Unit 2438

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INTERFERENCE SEARCH			
US Class/ CPC Symbol	**US Subclass / CPC Group**	**Date**	**Examiner**
726	1, 11-14, 22-25 with search terms: determine, detect, resolve, find, discover, uncover, identify, check, scan, examine, vulnerability, application, administer, implement, install, deploy, distribute, send, transmit, transfer, forward, mitigate, remediate, user, client, customer, subscriber, select, choose, pick, choice, input, specific, particular, distinct, different, explicit, individual, unique, operating, system	1/4/2017	M.H
713	187-188 with the above search terms	1/4/2017	M.H
H04L	63/02all, 63/14all with the above search terms	1/4/2017	M.H
G06F	21/5all with the above search terms	1/4/2017	M.H

	/MADHURI HERZOG/ Primary Examiner.Art Unit 2438

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

CPC						
Symbol					**Type**	**Version**
H04L		63	/	1433	F	2013-01-01
H04L		63	/	1441	I	2013-01-01
G06F		21	/	577	I	2013-01-01
G06F		21	/	55	I	2013-01-01
H04L		63	/	14	I	2013-01-01
G06F		21	/	554	I	2013-01-01
H04L		63	/	1408	I	2013-01-01
H04L		63	/	02	I	2013-01-01
G06F		21	/	50	I	2013-01-01
H04L		63	/	0263	A	2013-01-01
H04L		63	/	1416	I	2013-01-01
H04L		63	/	20	I	2013-01-01
G06F		21	/	57	I	2013-01-01
H04L		63	/	0227	I	2013-01-01
H04L		63	/	145	I	2013-01-01

CPC Combination Sets							
Symbol				**Type**	**Set**	**Ranking**	**Version**
			/				
			/				

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	01/04/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

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Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

US ORIGINAL CLASSIFICATION		INTERNATIONAL CLASSIFICATION										
CLASS	SUBCLASS	CLAIMED					NON-CLAIMED					
726	25	H	0	4	L	29 / 00 (2006.01.01)						

CROSS REFERENCE(S)					
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)				
726	13	22	26	24	
713	187	188			

NONE		Total Claims Allowed:	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	01/04/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

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Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	14816931	OLIPHANT ET AL.
	Examiner	**Art Unit**
	MADHURI HERZOG	2438

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☒ T.D. ☐ R.1.47

Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	1	17	17												
2	2	18	18												
3	3	19	19												
4	4	20	20												
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12	12														
13	13														
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15	15														
16	16														

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	22	
/MADHURI HERZOG/ Primary Examiner.Art Unit 2438	01/04/2017	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

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PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P0012A

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					
If you wish to add additional U.S. Patent citation information please click the Add button.						

U.S.PATENT APPLICATION PUBLICATIONS						
Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					
If you wish to add additional U.S. Published Application citation information please click the Add button.						

FOREIGN PATENT DOCUMENTS								
Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] ¡	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐
If you wish to add additional Foreign Patent Document citation information please click the Add button								

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
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	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P0012A

	1	Office Action Summary in U.S. Pat. App. No. 14/499,226 dated 5/19/2015	☐
	2	Office Action Summary in US Pat. App. No. 14/499,236 dated 05/06/2015	☐
	3	Office Action Summary in U.S. Pat. App. No. 14/499,239 dated 6/18/2015	☐
	4	Office Action Summary in U.S. Pat. App. No. 14/499,246 dated 03/30/2015	☐
	5	Office Action Summary in U.S. Pat. App. No. 14/499,246 dated 04/28/2015	☐
	6	Office Action Summary in U.S. Pat. App. No. 14/499,250 dated 05/13/2015	☐

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	01/04/2017

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(**Not for submission under 37 CFR 1.99)**

Application Number	14816931
Filing Date	2015-08-03
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Madhuri R HERZOG
Attorney Docket Number	SP1P0012A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2016-11-10
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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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 the Freedom of Information Act requires disclosure of these record s.

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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 inspections 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.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	44	(US-5210854-$ | US-5249705-$ | US-5253782-$ | US-5272754-$ | US-5276735-$ | US-5361359-$ | US-5499297-$ | US-5502766-$ | US-5557346-$ | US-5557765-$ | US-5596718-$ | US-5612503-$ | US-5640454-$ | US-5662291-$ | US-5696907-$ | US-5745573-$ | US-5796836-$ | US-5819275-$ | US-5822435-$ | US-5831987-$ | US-5864683-$ | US-5867647-$ | US-5913024-$ | US-5915087-$ | US-5918018-$).DID.	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 10:40
L2	96	(US-5950195-$ | US-5956403-$ | US-5968133-$ | US-5983350-$ | US-5991406-$ | US-5991856-$ | US-6003084-$ | US-6006035-$ | US-6028514-$ | US-6029256-$ | US-6035423-$ | US-6055527-$ | US-6064811-$ | US-6072942-$ | US-6084510-$ | US-6122657-$ | US-6134601-$ | US-6144934-$ | US-6151643-$ | US-6173180-$ | US-6182226-$ | US-6185689-$ | US-6195352-$ | US-6205552-$ | US-6208999-$ | US-6209101-$ | US-6219707-$ | US-6226372-$ | US-6230199-$ | US-6230288-$ | US-6240531-$ | US-6249585-$ | US-6266774-$ | US-6266811-$ | US-6267039-$ | US-6269456-$ | US-6272632-$ | US-6275942-$ | US-6282546-$ | US-6298422-$ | US-6301658-$ | US-6301668-$ | US-6301699-$ | US-6314190-$ | US-6321293-$ | US-6321336-$ | US-6324656-$ | US-6332195-$ | US-6336186-$ | US-6343362-$).DID.	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 10:41
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		$).DID.				
L4	149	(US-6671368-$ | US-6671812-$ | US-6674738-$ | US-6675042-$ | US-6678887-$ | US-6684329-$ | US-6687833-$ | US-6693888-$ | US-6697337-$ | US-6697870-$ | US-6697950-$ | US-6701440-$ | US-6701441-$ | US-6704874-$ | US-6707794-$ | US-6708292-$ | US-6711127-$ | US-6714513-$ | US-6718469-$ | US-6721847-$ | US-6725377-$ | US-6728219-$ | US-6728885-$ | US-6732157-$ | US-6735629-$ | US-6735703-$ | US-6742124-$ | US-6742128-$ | US-6745192-$ | US-6745311-$ | US-6748534-$ | US-6751627-$ | US-6751718-$ | US-6754488-$ | US-6754705-$ | US-6757727-$ | US-6757822-$ | US-6757830-$ | US-6760845-$ | US-6763403-$ | US-6763466-$ | US-6766458-$ | US-6768721-$ | US-6768991-$ | US-6769016-$ | US-6772332-$ | US-6772334-$ | US-6772345-$ | US-6775704-$ | US-6775780-$ | US-6779033-$ | US-6782421-$ | US-6782527-$ | US-6785237-$ | US-6785820-$ | US-6785821-$ | US-6789082-$ | US-6789117-$ | US-6789201-$ | US-6789202-$ | US-6792543-$ | US-6799197-$ | US-6801756-$ | US-6801940-$ | US-6802012-$ | US-6810017-$ | US-6814842-$ | US-6816973-$ | US-6823460-$ | US-6826608-$ | US-6826698-$ | US-6834301-$ | US-6836860-$ | US-6839852-$ | US-6842860-$).DID.	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 11:02
L5	199	(US-6842861-$ | US-6843190-$ | US-6845449-$ | US-6851058-$ | US-6851061-$ | US-6859793-$ | US-6862581-$ | US-6868069-$ | US-6868413-$ | US-6871279-$ | US-6874018-$ | US-6879812-$ | US-6886099-$ | US-6892227-$ | US-6892241-$ | US-6895387-$ | US-6895513-$ | US-6898712-$ | US-6898715-$ | US-6904521-$ | US-6907396-$ | US-6915426-$ | US-6920493-$ | US-6920558-$ | US-6922776-$ | US-6928555-$ | US-6931540-$ | US-6931546-$ | US-6934857-$ | US-6938161-$ | US-6941358-$ | US-6944775-$ | US-6947986-$ | US-6950933-$ | US-6950947-$ | US-6959418-$ | US-6961783-$ | US-6963978-$ | US-6964014-$ | US-6965928-$ | US-6966059-$ | US-6968461-$ | US-6970697-$ | US-6970823-$ | US-6971023-$ | US-6973577-$ | US-6973578-$ | US-6976068-$ | US-6976168-$ | US-6978454-$ | US-6980992-$ | US-6981280-$ | US-6983325-$ | US-6983326-$ | US-6983380-$ | US-6983486-$ | US-6986160-$ | US-6987963-$ | US-6988209-$ | US-6993660-$ | US-7000247-$ | US-7000250-$ | US-7003561-$ | US-7007302-$ | US-7010696-$ | US-7013330-$ | US-7016939-$ | US-7016948-$ | US-7023861-$ | US-7024432-$ | US-7024694-$ | US-7035544-$ | US-7036147-$ | US-7039702-$ | US-7039721-$ | US-7043024-$ | US-7043634-$ | US-7043756-$ | US-7043758-$ | US-7047297-$	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 11:15

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		| US-7051077-$ | US-7055036-$ | US-7058975-$ | US-7062555-$ | US-7062783-$ | US-7065790-$ | US-7069316-$ | US-7069330-$ | US-7069581-$ | US-7069594-$ | US-7076650-$ | US-7080000-$ | US-7080408-$ | US-7085931-$ | US-7085934-$ | US-7086050-$ | US-7089259-$ | US-7089302-$ | US-7093002-$ | US-7093121-$).DID.				
L6	197	(US-7093292-$ | US-7093293-$ | US-7096368-$ | US-7096500-$ | US-7096501-$ | US-7096503-$ | US-7107366-$ | US-7107574-$ | US-7107617-$ | US-7107618-$ | US-7114183-$ | US-7114185-$ | US-7117533-$ | US-7120252-$ | US-7124181-$ | US-7134140-$ | US-7136487-$ | US-7140042-$ | US-7146155-$ | US-7146642-$ | US-7149189-$ | US-7150042-$ | US-7152105-$ | US-7152241-$ | US-7154857-$ | US-7159036-$ | US-7162698-$ | US-7171681-$ | US-7171690-$ | US-7181015-$ | US-7181506-$ | US-7181613-$ | US-7185361-$ | US-7188367-$ | US-7203963-$ | US-7209954-$ | US-7210041-$ | US-7210168-$ | US-7213153-$ | US-7213260-$ | US-7225466-$ | US-7228565-$ | US-7231440-$ | US-7231637-$ | US-7231664-$ | US-7231665-$ | US-7234165-$ | US-7234167-$ | US-7234168-$ | US-7237008-$ | US-7237122-$ | US-7237222-$ | US-7237258-$ | US-7240102-$ | US-7243148-$ | US-7243373-$ | US-7251685-$ | US-7251830-$ | US-7254811-$ | US-7257630-$ | US-7257773-$ | US-7257842-$ | US-7263561-$ | US-7263718-$ | US-7266843-$ | US-7266844-$ | US-7269649-$ | US-7269851-$ | US-7272724-$ | US-7277957-$ | US-7281267-$ | US-7281268-$ | US-7284267-$ | US-7296080-$ | US-7299361-$ | US-7302584-$ | US-7302706-$ | US-7305005-$ | US-7305709-$ | US-7308702-$ | US-7308706-$ | US-7308712-$ | US-7308715-$ | US-7310817-$ | US-7310818-$ | US-7315801-$ | US-7315894-$ | US-7325252-$ | US-7328234-$ | US-7334222-$ | US-7340774-$ | US-7340775-$ | US-7343626-$ | US-7346781-$ | US-7346929-$ | US-7350203-$ | US-7350234-$ | US-7353539-$ | US-7359962-$ | US-7373659-$).DID.	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 11:29
L7	194	(US-7376842-$ | US-7380270-$ | US-7383556-$ | US-7383581-$ | US-7389539-$ | US-7391770-$ | US-7392043-$ | US-7398516-$ | US-7398517-$ | US-7401359-$ | US-7409593-$ | US-7409714-$ | US-7409720-$ | US-7412721-$ | US-7412722-$ | US-7412723-$ | US-7415726-$ | US-7418730-$ | US-7418733-$ | US-7418734-$ | US-7418737-$ | US-7421266-$ | US-7421587-$ | US-7424744-$ | US-7424746-$ | US-7426551-$ | US-7440403-$ | US-7440471-$ | US-7441274-$ | US-7451488-$ | US-7458098-$ | US-7461403-$ | US-7464408-$ | US-7472419-$ | US-7472421-$	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 11:35

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		| US-7480941-$ | US-7483861-$ | US-7493659-$ | US-7496043-$ | US-7509681-$ | US-7516483-$ | US-7519994-$ | US-7522531-$ | US-7533272-$ | US-7536456-$ | US-7536715-$ | US-7540031-$ | US-7543056-$ | US-7543070-$ | US-7543329-$ | US-7543334-$ | US-7549168-$ | US-7552480-$ | US-7555776-$ | US-7587759-$ | US-7590247-$ | US-7590725-$ | US-7590844-$ | US-7590855-$ | US-7590859-$ | US-7594262-$ | US-7603711-$ | US-7613625-$ | US-7620816-$ | US-7624422-$ | US-7624444-$ | US-7624450-$ | US-7627891-$ | US-7634800-$ | US-7640335-$ | US-7640361-$ | US-7640586-$ | US-7644352-$ | US-7647376-$ | US-7664845-$ | US-7665137-$ | US-7668947-$ | US-7669237-$ | US-7673043-$ | US-7673146-$ | US-7673150-$ | US-7673242-$ | US-7673342-$ | US-7673343-$ | US-7674298-$ | US-7681208-$ | US-7693742-$ | US-7693947-$ | US-7694128-$ | US-7694339-$ | US-7711662-$ | US-7712138-$ | US-7716719-$ | US-7716742-$ | US-7721110-$ | US-7739722-$ | US-7757293-$ | US-7757361-$ | US-7761605-$ | US-7770225-$).DID.				
L8	194	(US-7779466-$ | US-7783545-$ | US-7788705-$ | US-7788718-$ | US-7793346-$ | US-7793348-$ | US-7801980-$ | US-7810091-$ | US-7818739-$ | US-7822666-$ | US-7823204-$ | US-7827607-$ | US-7827611-$ | US-7836501-$ | US-7840663-$ | US-7841007-$ | US-7845007-$ | US-7861285-$ | US-7861303-$ | US-7865938-$ | US-7865956-$ | US-7870203-$ | US-7882555-$ | US-7895641-$ | US-7900254-$ | US-7903549-$ | US-7904955-$ | US-7917444-$ | US-7917647-$ | US-7917951-$ | US-7921459-$ | US-7926113-$ | US-7941855-$ | US-7958554-$ | US-7975296-$ | US-7984511-$ | US-7991827-$ | US-7991917-$ | US-7996201-$ | US-7996902-$ | US-8010387-$ | US-8019082-$ | US-8020211-$ | US-8024076-$ | US-8042149-$ | US-8042178-$ | US-8042181-$ | US-8051479-$ | US-8068441-$ | US-8069480-$ | US-8069481-$ | US-8074256-$ | US-8074282-$ | US-8090816-$ | US-8091117-$ | US-8099760-$ | US-8115769-$ | US-8117273-$ | US-8121892-$ | US-8122498-$ | US-8122499-$ | US-8127359-$ | US-8132250-$ | US-8135823-$ | US-8135830-$ | US-8140642-$ | US-8141157-$ | US-8156483-$ | US-8171551-$ | US-8176544-$ | US-8176553-$ | US-8181222-$ | US-8185943-$ | US-8219620-$ | US-8230497-$ | US-8230502-$ | US-8239941-$ | US-8256002-$ | US-8260906-$ | US-8266703-$ | US-8291505-$ | US-8310955-$ | US-8312535-$ | US-8341693-$ | US-8359650-$ | US-8364772-$ | US-8380791-$ | US-8387146-$ | US-8393001-$ | US-8402540-$ | US-8407683-$ | US-	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 11:38

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		8468256-$ | US-8490197-$ | US-8495740-$ | US-8510839-$ | US-8527977-$ | US-8528042-$ | US-8533703-$ | US-8539063-$).DID.				
L9	274	(US-20010014150-$ | US-20010027388-$ | US-20010027389-$ | US-20010028268-$ | US-20010028269-$ | US-20010034847-$ | US-20010042004-$ | US-20010043778-$ | US-20020026591-$ | US-20020032860-$ | US-20020042687-$ | US-20020042877-$ | US-20020069035-$ | US-20020078381-$ | US-20020092924-$ | US-20020104014-$ | US-20020109963-$ | US-20020112179-$ | US-20020116631-$ | US-20020120558-$ | US-20020137991-$ | US-20020147803-$ | US-20020150866-$ | US-20020178383-$ | US-20020199122-$ | US-20030014669-$ | US-20030023873-$ | US-20030028803-$ | US-20030033542-$ | US-20030037258-$ | US-20030046128-$ | US-20030050718-$ | US-20030051163-$ | US-20030056116-$ | US-20030065945-$ | US-20030070003-$ | US-20030083831-$ | US-20030091951-$ | US-20030097228-$ | US-20030126472-$ | US-20030135749-$ | US-20030140249-$ | US-20030140250-$ | US-20030154269-$ | US-20030159060-$ | US-20030159063-$ | US-20030188194-$ | US-20030195569-$ | US-20030195861-$ | US-20030202663-$ | US-20030204632-$ | US-20030204719-$ | US-20030204728-$ | US-20030212779-$ | US-20030212909-$ | US-20030217039-$ | US-20030233438-$ | US-20040006704-$ | US-20040015338-$ | US-20040015728-$ | US-20040015737-$ | US-20040019803-$ | US-20040021889-$ | US-20040022359-$ | US-20040024781-$ | US-20040044912-$ | US-20040049372-$ | US-20040064722-$ | US-20040064726-$ | US-20040071081-$ | US-20040073800-$ | US-20040078384-$ | US-20040088564-$ | US-20040088565-$ | US-20040088581-$ | US-0006704-$ | US-0014150-$ | US-0014669-$ | US-0015338-$ | US-0015728-$ | US-0015737-$ | US-0019803-$ | US-0021889-$ | US-0022359-$ | US-0023873-$ | US-0024781-$ | US-0026591-$ | US-0027388-$ | US-0027389-$ | US-0028268-$ | US-0028269-$ | US-0028803-$ | US-0032860-$ | US-0033542-$ | US-0034847-$ | US-0037258-$ | US-0042004-$ | US-0042687-$ | US-0042877-$ | US-0043778-$ | US-0044912-$ | US-0046128-$ | US-0049372-$ | US-0050718-$ | US-0051163-$ | US-0056116-$ | US-0064722-$ | US-0064726-$ | US-0065945-$ | US-0069035-$ | US-0070003-$ | US-0071081-$ | US-0073800-$ | US-0078381-$ | US-0078384-$ | US-0083831-$ | US-0088564-$ | US-0088565-$ | US-0088581-$ | US-0091951-$ | US-0092924-$ | US-0097228-$ | US-0104014-$ | US-0109963-$ | US-0112179-$ | US-0116631-$ | US-0120558-$ | US-0126472-$ | US-0135749-$ | US-0137991-$ | US-0140249-$ | US-	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 11:42

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		0140250-$ | US-0147803-$ | US-0150866-$ | US-0154269-$ | US-0159060-$ | US-0159063-$ | US-0178383-$ | US-0188194-$ | US-0195569-$ | US-0195861-$ | US-0199122-$ | US-0202663-$ | US-0204632-$ | US-0204719-$ | US-0204728-$ | US-0212779-$ | US-0212909-$ | US-0217039-$ | US-0233438-$ | US-8549611-$ | US-8549635-$ | US-8555344-$ | US-8555374-$ | US-8561167-$ | US-8561175-$ | US-8578480-$ | US-8615582-$ | US-8621060-$ | US-8621073-$ | US-8621077-$ | US-8627443-$ | US-8627466-$ | US-8631124-$ | US-8631495-$ | US-8634309-$ | US-8656502-$ | US-8661126-$ | US-8700767-$ | US-8706576-$ | US-8732835-$ | US-8744938-$ | US-8776230-$ | US-8782260-$ | US-8789193-$).DID.				
L10	182	(US-20040098623-$ | US-20040102922-$ | US-20040102923-$ | US-20040103431-$ | US-20040106955-$ | US-20040117624-$ | US-20040117640-$ | US-20040128529-$ | US-20040128530-$ | US-20040128543-$ | US-20040153171-$ | US-20040158545-$ | US-20040172550-$ | US-20040181787-$ | US-20040192204-$ | US-20040193918-$ | US-20040210653-$ | US-20040215972-$ | US-20040215978-$ | US-20040221176-$ | US-20040250115-$ | US-20040250128-$ | US-20040259640-$ | US-20040268322-$ | US-20050005169-$ | US-20050007743-$ | US-20050010821-$ | US-20050015382-$ | US-20050015667-$ | US-20050022028-$ | US-20050049962-$ | US-20050091542-$ | US-20050114186-$ | US-20050160286-$ | US-20050177752-$ | US-20050195975-$ | US-20050240756-$ | US-20060004614-$ | US-20060030972-$ | US-20060031938-$ | US-20060069912-$ | US-20060070129-$ | US-20060130139-$ | US-20060156407-$ | US-20060168660-$ | US-20060179325-$ | US-20060230006-$ | US-20060265746-$ | US-20060272011-$ | US-20060293942-$ | US-20080005555-$ | US-20080052054-$ | US-20080060075-$ | US-20080216173-$ | US-20080222731-$ | US-20080263525-$ | US-20080263668-$ | US-20080271151-$ | US-20090320138-$ | US-20090328213-$ | US-20100083382-$ | US-20100100961-$ | US-20110131644-$ | US-20110162049-$ | US-20110173342-$ | US-20110173677-$ | US-20110214179-$ | US-20110214185-$ | US-20110258315-$ | US-20110258694-$ | US-20120017278-$ | US-20120030766-$ | US-20120084867-$ | US-20120102570-$ | US-20120144476-$ | US-20120144493-$ | US-20120144494-$ | US-20120151594-$ | US-20120151595-$ | US-20120151596-$ | US-20120185549-$ | US-20120185550-$ | US-20120185551-$ | US-20120192262-$ | US-20120204265-$ | US-20120271890-$ | US-20130031265-$ | US-20130031635-$ | US-20130167240-$ | US-20130246620-$ | US-20130275999-$ | US-20130312101-	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 12:00

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		$).DID.				
L11	188	(US-20010034847-$ | US-20020013811-$ | US-20020026591-$ | US-20020104014-$ | US-20020112179-$ | US-20020199122-$ | US-20030005178-$ | US-20030014669-$ | US-20030037601-$ | US-20030061506-$ | US-20030084320-$ | US-20030126472-$ | US-20030135749-$ | US-20030145228-$ | US-20040030778-$ | US-20040054764-$ | US-20040088565-$ | US-20040103310-$ | US-20040117640-$ | US-20040243603-$ | US-20050010819-$ | US-20050015382-$ | US-20050033988-$ | US-20050222969-$ | US-20050235360-$ | US-20060265708-$ | US-20070016659-$ | US-14816931-$ | US-5008814-$ | US-5253932-$ | US-5335346-$ | US-5683638-$ | US-5765153-$ | US-5892903-$ | US-5991881-$ | US-6005942-$ | US-6044466-$ | US-6074727-$ | US-6131163-$ | US-6185689-$ | US-6219786-$ | US-6282546-$ | US-6298445-$ | US-6321334-$ | US-6324656-$ | US-6345361-$ | US-6418554-$ | US-6473800-$ | US-6526513-$ | US-6754896-$ | US-6816896-$ | US-6952779-$ | US-6957348-$ | US-6966059-$ | US-6990591-$ | US-7000247-$ | US-7010696-$ | US-7051097-$ | US-7051365-$ | US-7073198-$ | US-7076801-$ | US-7080141-$ | US-7159237-$ | US-7178144-$ | US-7181769-$ | US-7216343-$ | US-7228566-$ | US-7240193-$ | US-7249187-$ | US-7278163-$ | US-7308712-$ | US-7315801-$ | US-7353539-$ | US-7424706-$ | US-7458098-$ | US-7509676-$ | US-7519954-$ | US-7519994-$ | US-7536456-$ | US-7562388-$ | US-7574740-$ | US-7594273-$ | US-7624422-$ | US-7627891-$ | US-7673043-$ | US-7698275-$ | US-7761920-$ | US-7779468-$ | US-7827607-$ | US-7836501-$ | US-7882555-$ | US-7913303-$ | US-7954159-$ | US-8091117-$ | US-8121874-$ | US-8135823-$ | US-8135830-$ | US-8181173-$ | US-8185930-$).DID.	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 12:08
L12	68	(US-20020138416-$ | US-20020171546-$ | US-20030177389-$ | US-20030233438-$ | US-20040148520-$ | US-20050193430-$ | US-20050216957-$ | US-20060041936-$ | US-20080047016-$ | US-20080127349-$ | US-20080222724-$ | US-20090077666-$ | US-20100218256-$ | US-20100241478-$ | US-20110138036-$ | US-20120110671-$ | US-20120173931-$ | US-20120210434-$ | US-20130055394-$ | US-20140215605-$ | US-20140331326-$ | US-14816931-$ | US-5999179-$ | US-6766458-$ | US-6907531-$ | US-6957348-$ | US-7178166-$ | US-7185232-$ | US-7234163-$ | US-7257630-$ | US-7331061-$ | US-7367054-$ | US-7496960-$ | US-8250654-$ | US-8266320-$).DID.	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 13:01
L13	1123	(determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or	US-PGPUB;	ADJ	ON	2017/01/04 14:47

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		identiy$4 or identification or check$4 or scan$4 or examin$6) with vulnerabilit$4 and (application or apply$4 or administer$5 or implenat$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4)	USPAT; EPO; JPO; DERWENT			
L14	549	(726/1,11-14,22-25.ccls. or 713/187-188.ccls.) and L13	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 14:47
L15	1	L14 and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4) with (mitigat$4 or remediat$4) near5 (signature or technique or method or type or category or class or group or kind or fingerprint or variety or classification) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 14:47
L16	2	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and L13 and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4) with (mitigat$4 or remediat$4) near5 (signature or technique or method or type or category or class or group or kind or fingerprint or variety or classification) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 14:49
L17	183	L13 and (user or client or customer or subscriber) with (select$4 or choos$4 or pick$4 or choice or input$4) with (mitigat$4 or remediat$4)	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 14:51
L18	6	L17 and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 14:51
L19	6	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and L18	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 14:51
L20	4	(726/1,11-14,22-25.ccls. or 713/187-188.ccls.) and L18	US-PGPUB; USPAT; EPO; JPO; DERWENT	ADJ	ON	2017/01/04 14:52

EAST Search History (Interference)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L21	1	(H04L63/02$ or H04L63/14$ or	USPAT	ADJ	ON	2017/01/04

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		G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with vulnerabilit$4 and (application or apply$4 or administer$5 or implenat$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4) and (user or client or customer or subscriber) with (select$4 or choos$4 or pick$4 or choice or input$4) with (mitigat$4 or remediat$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system).clm.				14:53
L22	6	(H04L63/02$ or H04L63/14$ or G06F21/5$).cpc. and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with vulnerabilit$4 and (application or apply$4 or administer$5 or implenat$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4) and (user or client or customer or subscriber) with (select$4 or choos$4 or pick$4 or choice or input$4) with (mitigat$4 or remediat$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4) with operating near5 system).clm.	USPAT	ADJ	ON	2017/01/04 14:53
L23	0	(726/1,11-14,22-25.ccls. or 713/187-188.ccls.) and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with vulnerabilit$4 and (application or apply$4 or administer$5 or implenat$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4) and (user or client or customer or subscriber) with (select$4 or choos$4 or pick$4 or choice or input$4) with (mitigat$4 or remediat$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4) with (specific$4 or particular$4 or distinct$4 or differ$4 or explicit$4 or individual$4 or unique$4) near5 operating near5 system).clm.	USPAT	ADJ	ON	2017/01/04 14:55
L24	1	(726/1,11-14,22-25.ccls. or 713/187-188.ccls.) and ((determin$6 or detect$4 or resolv$4 or find$4 or discover$4 or uncover$4 or identiy$4 or identification or check$4 or scan$4 or examin$6) with vulnerabilit$4 and (application or apply$4 or administer$5 or implenat$6 or deploy$4 or install$6 or distribu$4 or send$4 or transmi$6 or transfer$4 or forward$4) with (mitigat$4 or remediat$4) and (user or client or customer or subscriber) with (select$4 or	USPAT	ADJ	ON	2017/01/04 14:55

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EX-1010
Page554

		choos$4 or pick$4 or choice or input$4) with (mitigat$4 or remediat$4) and (identify$4 or identification or recogni$5 or determin$5 or discover$4 or choos$4 or select$4 or pick$4 or choice) with (mitigat$4 or remediat$4) with operating near5 system).clm.				

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CONFIRMATION NO. 1044

SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
14/816,931	08/03/2015 RULE	726	2438	SP1P012A

APPLICANTS
SecurityProfiling, LLC, Garland, TX;

INVENTORS
Brett M. Oliphant, Plano, TX;
John P. Blignaut, West Lafayette, IN;

**** CONTINUING DATA **************************
This application is a CON of 14/499,230 09/28/2014 PAT 9100431
which is a CIP of 14/138,014 12/21/2013 PAT 9117069
which is a CON of 10/882,852 07/01/2004 ABN
which claims benefit of 60/484,085 07/01/2003

**** FOREIGN APPLICATIONS **************************

**** IF REQUIRED, FOREIGN FILING LICENSE GRANTED **** ** SMALL ENTITY **
08/18/2015

Foreign Priority claimed ☐ Yes ☑ No 35 USC 119(a-d) conditions met ☐ Yes ☑ No Verified and Acknowledged /MADHURI R HERZOG/ Examiner's Signature	☐ Met after Allowance Initials	STATE OR COUNTRY	SHEETS DRAWINGS	TOTAL CLAIMS	INDEPENDENT CLAIMS
		TX	12	21	3

ADDRESS
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025
UNITED STATES

TITLE
COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14816931
	Filing Date	2015-08-03
	First Named Inventor	Brett M. Oliphant
	Art Unit	2438
	Examiner Name	Madhuri R HERZOG
	Attorney Docket Number	SP1P0012A

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	U.S. Provisional Application No. 60/448,313, filed February 14, 2003	☐
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	18	U.S. Provisional Application No. 60/441,422, filed January 21, 2003	☐
	19	U.S. Provisional Application No. 60/388,078, filed June 11, 2002	☐
	20	U.S. Provisional Application No. 60/345,689, filed December 31, 2001	☐

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EXAMINER SIGNATURE

Examiner Signature	/MADHURI R HERZOG/	Date Considered	01/04/2017

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[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Patrick Caldwell/	Date (YYYY-MM-DD)	2016-11-10
Name/Print	Patrick Caldwell	Registration Number	44580

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

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Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Brett Oliphant	
		Filing Date 08-03-2015	Group Art Unit 2438

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	1	Press Release "New SecurityProfiling Anti-Vulnerability Technology Thwarts Hackers" SecurityProfiling (released April 3, 2002, internet archive copy dated April 29, 2002), available at https://web.archive.org/web/20020429014824/http://securityprofiling.com/press4-03-02.htm
	2	Webpage "Patching across the Enterprise" Information Security Magazine (February 2002, internet archive copy dated June 11, 2002), available at https://web.archive.org/web/20020611094355/http://www.infosecuritymag.com/2002/feb/features_sidebar1.shtml
	3	Webpage "News" tab archived copy of www.securityprofiling.com/news.htm (August 2, 2002, internet archive copy dated August 2, 2002), available at https://web.archive.org/web/20020802143928/http://www.securityprofiling.com/news.htm

Examiner Signature	Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P012A	Application No. 14/816,931
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett Oliphant	
	Filing Date 08-03-2015	Group Art Unit 2438

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	4	Webpage "What is Anti-VulnerabilityTM Technology?" SecurityProfiling (April 5, 2002, internet archive copy dated April 5, 2002), available at https://web.archive.org/web/20020405174405/http://securityprofiling.com/antivulnerability.htm
	5	Webpage "SysUpdate" SecurityProfiling (April 5, 2002, internet archive dated April 5, 2002), available at https://web.archive.org/web/20020405201602/http://securityprofiling.com/sysupdate.htm
	6	Webpage "SecurityProfiling's Anti-Vulnerability Technology" at Indiana Information Technology Exposition and Conference, SecurityProfiling (June 5, 2002), available at https://web.archive.org/web/20020802143928/http://www.securityprofiling.com/news.htm
	7	Press Release "Hackers Thwarted with SecurityProfiling's Anti-Vulnerability Technology" SecurityProfiling (July 1, 2002, internet archive copy dated November 22, 2002), available at https://web.archive.org/web/20021122000803/http://www.securityprofiling.com/press7-01-02.htm
	8	Webpage "LogBoss" SecurityProfiling (June 8, 2002, internet archive copy dated June 8, 2002), available at https://web.archive.org/web/20020608001441/http://www.securityprofiling.com/logboss.htm
	9	Press Release "SecurityProfiling Introduces New Network Software" SecurityProfiling (February 28, 2002, internet archive copy dated June 8, 2002), available at https://web.archive.org/web/20020608162907/http://www.securityprofiling.com/press2-28-02.htm
	10	Webpage "News" SecurityProfiling (internet archive copy dated December 9, 2002), available at https://web.archive.org/web/20021209114707/http://securityprofiling.com/news.htm

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Disclosure Form (PTO-1449)

Electronic Acknowledgement Receipt

EFS ID:	28028372
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	10-JAN-2017
Filing Date:	03-AUG-2015
Time Stamp:	21:02:32
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	SP1P0012A_IDS_Coversheet_vF_10-Jan-2017.pdf	55389 ba6545599a609868c9a29b551ede0b7c3496e637	no	2
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Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	SP1P0012A_IDS_vF_10-Jan-2017.pdf	31307 f3bd039c7ebbd1180170249c32fa7e55290b099f	no	2
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This is not an USPTO supplied IDS fillable form					
3	Non Patent Literature	rpNPL1_NewSecurityProfiling.pdf	948717 cb8192c13efa75d694566bc3c226ece5d7de633e	no	2
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5	Non Patent Literature	rpNPL3_News.pdf	170433 e8efe44e2617d6df1aa62ea1f4c3d413fa684765	no	2
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6	Non Patent Literature	rpNPL4_WhatisAntiVulnerability.pdf	132463 2b4fd4eeba4b950fcdbf6dcfb92679cdf6fdC375	no	3
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11	Non Patent Literature	rpNPL9_SecurityProfilingIntroduces.pdf	832135 312663c6000409e1f99687e3d688a1b9c983aab4	no	2
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12	Non Patent Literature	rpNPL10_News.pdf	136994 3dee30f5f394b89cb4c651b451e8feffdd2e6b8f	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	2978932		

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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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	
Brett M. Oliphant	Examiner: HERZOG, MADHURI R
Application No.: 14/816,931	Art Unit: 2438
File Date: 2015-08-03	Docket No.: SP1P012A
Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Date: Jan 10, 2017

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56 AND 1.97(b)

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

Examiner:

The reference(s) listed in the attached PTO Form 1449, cop(ies) of which is attached (when necessary), may be material to examination of the above-identified patent application. Applicants submit the reference(s) in compliance with their duty of disclosure pursuant to 37 CFR §§ 1.56 and 1.97. The Examiner is requested to make the reference(s) of official record in this application.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that the reference(s) indeed constitutes prior art.

One or more related patents are the subject of pending litigation (e.g. US8266699, US8984644, US9100431, US9117069, US9118708, and US9225686). No invalidity contentions have been provided in such litigation. This Information Disclosure Statement is believed to be filed within three months of the filing date of a national application other than a continued prosecution application, within three months of the date of entry of the national stage in an international application, before the mailing of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

Respectfully submitted,



Dated: 10 Jan 2017

Patrick E. Caldwell, Esq.
Reg. No. 44,580

The Caldwell Firm, LLC
PO Box 59655
Dallas, Texas 75229-0655
Telephone: (214) 734-2313
pcaldwell@thecaldwellfirm.com

Electronic Acknowledgement Receipt

EFS ID:	27481524
Application Number:	14816931
International Application Number:	
Confirmation Number:	1044
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Patrick Edgar Caldwell
Filer Authorized By:	
Attorney Docket Number:	SP1P012A
Receipt Date:	11-NOV-2016
Filing Date:	03-AUG-2015
Time Stamp:	01:58:56
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Non Patent Literature	14499226_NOA_5-19-15.pdf	618124 af065a197c7bb82cf5924a29fe163ddaeacd0dc4	no	55
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5	Non Patent Literature	SP1P017_NOA_6-18-15.pdf	1494540 8ea251fd36375c0cc3ca981c23a3d2cbfa36104a	no	38
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6	Non Patent Literature	SP1P021_OA_5-13-15.pdf	252094 f8dec63f7e7241afb6a3fb1730b7fbf1b984fab5	no	7
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7	Non Patent Literature	14138014_Interview_2-9-15.pdf	93888 bc42f8815e2c953423a1b0823920f371b754b44f	no	3
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8	Non Patent Literature	14138014_NOA_2-24-2015.pdf	5820158 e6e920228d162a4f78390d3a8854f01bbea7d099	no	128
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9	Non Patent Literature	14499226_preOA_2-20-2015.pdf	2383224 e905ba5ab766a4c76741fa98b1462e0fd434c219	no	61
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10	Non Patent Literature	14499227_preOA_1-27-2015.pdf	314775 8b0c400a604d2ac4871f61988c046e22c5ca06cf	no	8
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Warnings:					
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34	Non Patent Literature	10882852_app_07-01-04.pdf	429457 77f5ee6f6dc2220074c02c602aa89975c072ddd7	no	24
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35	Non Patent Literature	10882852_Examiner_affirmed_05-15-13.pdf	66410 0547038abf29f51c9738a35f537653abe0149549	no	12
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36	Non Patent Literature	10882852_Examiners_answer_06-01-10.pdf	330301 d85ca0795ba32c06dd14b30a908e03e247bb1bd6	no	47
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38	Non Patent Literature	10882852_OA_06-24-09.pdf	383842 92d755b321819c26edd6215a0f7cbb7bd7(a1f48	no	73
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42	Non Patent Literature	10882853_OA_04-30-08.pdf	241596 cc2c347fbbd53e3f65c00fd21e8a4e7e2348 00e0	no	46
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(71) Applicant: **Ricoh Company**
Tokyo 143-8555 (JP)

(72) Inventors:
- **Motoyama, Tetsuro**
  San Jose, CA 95131-1817 (US)
- **Fong, Avery**
  San Jose, CA 95131-1817 (US)

(74) Representative: **Schwabe - Sandmair - Marx**
Stuntzstrasse 16
81677 München (DE)

(54) Remote monitoring of network devices by means of e-mail messages

(57) A system, method, and computer program product for transferring monitoring information from a remote monitor (266,272,282) to a central monitor (254) responsible for monitoring devices on multiple networks. In a monitoring system for network devices is disclosed. A communication link is established between a remote monitor and a message transfer server (943). Monitoring information is formatted into a standard format, encrypted, encoded, and sent from the remote monitor to the central monitor as an attachment to an e-mail via the communication link to the message transfer server.

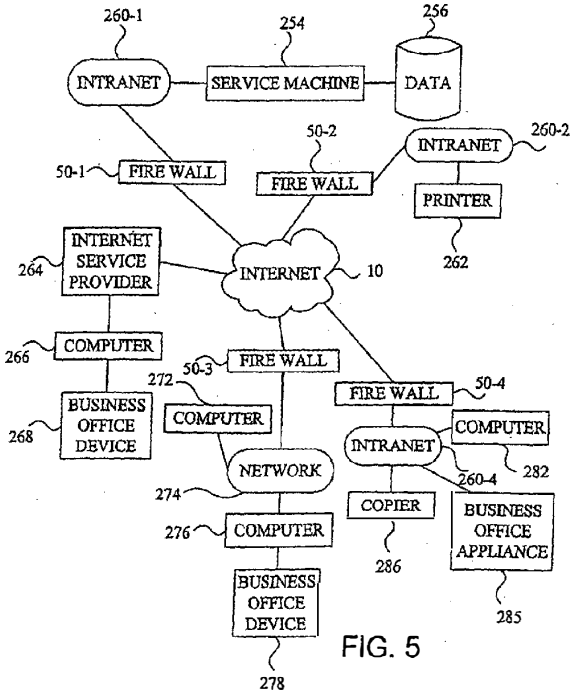


FIG. 5

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Description

CROSS-REFERENCE TO RELATED APPLICATIONS

[0001] The present application is related to U.S. Patent Application 09/190,460, filed November 13, 1998, entitled "Method and System for Translating Documents Using Different Translation Resources for Different Portions of the Documents," which is a continuation of U.S. Patent Application 08/654,207, filed May 28, 1996, entitled "Method and System for Translating Documents Using Different Translation Resources for Different Portions of the Documents," now U.S P 5,848,386; U.S. Patent Application 08/997,705, filed December 23, 1997, entitled "Object-oriented System and Computer Program Product for Mapping Structured Information to Different Structured Information," now U.S.P. 6,085,196; U. S. Patent Application 08/997,705, filed December 23, 1997, entitled "Method and Apparatus for Providing a Graphical User Interface for Creating and Editing a Mapping of a First Structural Description to a Second Structural Description"; US Patent Application 09/756,120, filed January 9, 2001, entitled "Method and System of Remote Support Of Device Using Email"; U.S. Patent Application 09/668,162, filed September 25, 2000, entitled "Method and System of Data collection and Mapping From a Remote Position Reporting Device"; U.S. Patent Application 09/575,710, filed July 25, 2000, entitled "Method and System of Remote Diagnostic and Information Collection and Service System"; U.S. Patent Application 09/575,702, filed July 12, 2000, entitled "Method and System of Remote Position Report Device"; U.S. Patent Application 09/453,934, filed May 17, 2000, entitled "Method and System of Remote Diagnostic, Control and Information Collection Using a Dynamic Linked Library for Multiple Formats and Multiple Protocols"; U.S. Patent Application 09/453,935, filed May 17, 2000, entitled "Method and System of Remote Diagnostic, Control and Information Collection Using a Dynamic Linked Library of Multiple Formats and Multiple Protocols With Intelligent Protocol Processor"; U.S. Patent Application 09/453,937, filed May 17, 2000, entitled "Method and System of Remote Diagnostic, Control and Information Collection Using a Dynamic Linked Library of Multiple Formats and Multiple Protocols With Restriction on Protocol"; U.S. Patent Application 09/453,936, filed May 17, 2000, entitled "Method and System of Remote Diagnostic, Control and Information Collection Using a Dynamic Linked Library of Multiple Formats and Multiple Protocols with Intelligent Formatter"; U.S. Patent Application 09/542,284, filed April 4, 2000, entitled "System and Method to Display Various Messages While Performing the Tasks or While Idling"; U.S. Patent Application 09/520,368, filed on March 7, 2000, entitled "Method and System for Updating the Device Driver of a Business Office Appliance"; U.S. Patent Application 09/453,877, filed February 4, 2000, entitled "Method and System for Maintaining a Business Office Appliance through Log Files"; U.S. Patent Application 09/440,692, filed November 16, 1999, entitled "Method and System to Monitor the Application Usage and Send Back the Information Using Connection and Connectionless Mode"; U.S. Patent Application 09/440,693, filed November 16, 1999, entitled "Method and System of Remote Diagnostic, Control and Information Collection Using a Dynamic Linked Library"; U.S. Patent Application 09/440,647, filed November 16, 1999, entitled "Method and System to Monitor the Application Usage and Send Back the Information Using Connection and Connectionless Mode"; U.S. Patent Application 09/440,646, filed November 16, 1999, entitled "Method and System to Monitor the Application Usage and Send Back the Information Using Connection and Connectionless Mode"; U.S. Patent Application 09/440,645, filed November 16, 1999, entitled "Application Unit Monitoring and Reporting System and Method With Usage Data Logged Into a Map Structure"; U.S. Patent Application 09/408,443, filed September 29, 1999, entitled "Method and System for Remote Diagnostic, Control, and Information Collection Based on various Communication Modes for Sending Messages to a Resource Manager"; U.S. Patent Application 09/407,769, filed September 29, 1999, entitled "Method and System for Remote Diagnostic, Control and Information Collection Based on various Communication Modes for Sending Messages to Users"; U.S. Patent Application 09/393,677, filed September 10, 1999, entitled "Application Unit Monitoring and Reporting System and Method"; U.S. Patent Application 09/311,148, filed May 13, 1999, entitled "Application Unit Monitoring and Reporting System and Method"; U.S. Patent Application 09/192,583, filed November 17, 1998, entitled "Method and System for Communicating With a Device Attached to a Computer Using Electronic Mail Messages"; U.S. Patent Application 08/883,492, filed June 26, 1997, entitled "Method and System for Diagnosis and Control of Machines Using Connectionless Modes Having Delivery Monitoring and an Alternate Communication Mode"; U.S. Patent Application 08/820,633, filed March 19, 1997, entitled "Method and System to Diagnose a Business Office Device Based on Operating Parameters Set by a User," now U.S.P. 5,887,216; U.S. Patent Application 08/733,134, filed October 16, 1996, entitled "Method and System for Diagnosis and Control of Machines Using Connectionless Modes of Communication," now U.S.P. 5,909,493; U.S. Patent Application 08/880,683, filed June 23, 1997, U.S. Patent Applications 09/107,989 and 09/108.705, both of which were filed July 1, 1998, all three of which are entitled "Method and System for Controlling and Communicating, with Machines Using Multiple Communication Formats," and all three of which are divisions of U.S. Patent Application 08/624,228, filed March 29, 1996, entitled "Method and System for Controlling and Communicating with Machines Using Multiple Communication Formats," now U.S.P. 5,818,603; U.S. Patent Application 09/457,669, entitled "Method and System for Diagnosis and Control of Machines Using Connection and Connectionless Modes of Communication, " filed December 9, 1999, which is a continuation of U.S. Patent Application 08/916,009, entitled "Method and System

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for Diagnosis and Control of Machines Using Connection and Connectionless Modes of Communication, " filed August 21, 1997, which is a continuation of U.S. Patent Applications 08/738,659 and 08/738,461, filed October 30, 1996, both of which are entitled "Method and System for Diagnosis and Control of Machines Using Connection and Connectionless Modes of Communication," which are divisions of U.S. Patent Application 08/463,002, filed June 5, 1995, entitled "Method and System for Diagnosis and Control of Machines Using Connection and Connectionless Modes of Communication", now U.S.P. 5,819,110; U.S. Patent. Application 08/852,413, filed May 7, 1987, entitled "Method and System for Controlling and Communicating with Business Office Devices." now U.S.P. 5,774,678, which is a continuation of U.S. Patent Application 08/698,068, filed August 15, 1996, entitled "Method and Apparatus for Controlling and Communicating With Business Office Devices", now U.S.P. 5,649,120, which is a continuation of U.S. Patent Application 08/562,192, filed November 22, 1995, now U.S.P. 5,568,618, entitled "Method and Apparatus for Controlling and Communicating With Business Office Devices", which is a continuation of U.S. Patent Application 08/473,780, filed June 6, 1995, entitled "Method and Apparatus for Controlling and Communicating With Business Office Devices", now U.S. P. 5,544,289, which is a continuation of U.S. Patent Application 08/426,679, filed April 24, 1995, entitled "Method and Apparatus for Controlling and Communicating With Business Office Devices," now U.S.P. 5,537,554, which is a continuation of U.S. Patent Application 08/282,168, filed July 28, 1994, entitled "Method and Apparatus for Controlling and Communicating With Business Office Devices", now U.S. Patent 5,412,779, which is a continuation of U.S. Patent Application 07/902,462, filed June 19, 1992, now abandoned, which is a continuation of U.S. Patent Application 07/549,278, filed July 6, 1990, now abandoned; U.S. Patent Application XX/XXX,XXX, filed XXX XX, 2001, entitled "SYSTEM, METHOD, AND COMPUTER PROGRAM PRODUCT FOR SENDING REMOTE DEVICE CONFIGURATION INFORMATION TO A MONITOR USING E-MAIL" (Attorney Docket Number 205847US-5244-5244-2); and U.S. Patent Application XX/XXX,XXX, filed XXX XX, 2001, entitled "SYSTEM, METHOD, AND COMPUTER PROGRAM PRODUCT FOR SENDING PERSISTENT AND NON-PERSISTENT STATUS INFORMATION TO A MONITOR USING E-MAIL" (Attorney Docket Number 205828US-5244-5244-2), the entire contents of each of these applications and patents are incorporated herein by reference.

BACKGROUND OF THE INVENTION

Field of the Invention:

[0002] This invention relates to systems, methods, and computer program products for monitoring networked devices. Configuration and status information is gathered from the networked devices by a remote monitor and is sent in an electronic mail form, such as e-mail, to a central monitoring site.

Discussion of the Background:

[0003] Co-pending U.S. patent application Serial No. 09/756,120 filed on January 09, 2001, describes a system for remotely monitoring networked devices using e-mail. As described in that application, the Simple Network Management Protocol (SNMP) is used by a remote monitor to collect information from networked devices. The collected information is then sent to a central monitor using, for example, e-mail.

[0004] In order to remotely monitor devices, both configuration information and status information are collected. Accordingly, as described in the above-referenced application, both configuration and status information are sent from the remote monitor to the central monitor. The configuration information may include, for example, device make and model information, device-unique serial number and address information, device physical location information, contact information, etc. The status information may include any number of alarm and state conditions depending on the type of device. For example, a printer may include a "paper jam" indicator, or an "out of paper" indicator, etc., while a business office appliance may include other indicators.

[0005] As the number of different classes of information (e.g., configuration or status) increases, or the number of different types of devices being supported increases, the complexity of remotely monitoring these devices also increases.

SUMMARY OF THE INVENTION

[0006] The inventors of the present invention have recognized that it would be advantageous to have a simple interface for transferring information using a commonly available resource in a system for remotely monitoring networked devices. The present inventors have further recognized that it would be advantageous to have an extensible data transfer capability that supports the transfer of different classes of information, for example, configuration information or status information, using a commonly available resource such as Internet e-mail. Moreover, the present inventors have recognized that it would be further advantageous if the transfer capability could be customized or extended without

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impacting a small set of public methods used to implement a core set of functionality supported by the data transfer capability.

[0007] The present invention provides a system, method, and computer program product through which different classes of information are transferred from a remote monitor to a central monitor using, for example, Internet e-mail as a transfer mechanism. By having a simple interface, the complexities of performing the data transfer are hidden from applications using the data transfer mechanism. The present invention provides a data transfer capability that can be extended to include further capabilities, such as, for example, an encryption capability, without impacting the simple interface, and without impacting the ability to make use of a commonly available transfer mechanism, such as Internet e-mail.

[0008] In one embodiment, the data transfer capability of the present invention makes use of the commonly-available Internet e-mail as a transfer mechanism, and its capabilities are available through a public interface that includes a small set of functions. Through this small set of functions, a communication link between a remote monitor and a central monitor may be established, and information may be transferred from the remote monitor to the central monitor via Internet e-mail. The information that is sent may be either configuration information or status information. The same four methods are used irrespective of the type of information that is being transferred, thereby providing for ease in integration of the data transfer capability of the present invention.

[0009] The data transfer mechanism has been designed to be extensible without impacting the small set of functions that make up the public interface described above. For example, an abstract class has been provided through which encryption capabilities may be added. New derived classes of this abstract class can be added to support application-specific encryption needs. Any complexity added by a custom encryption capability is hidden from the public interface, and therefore will not impact the application making use of the data transfer mechanism.

[0010] One advantage of the present invention is that as more types of microprocessor-based devices become available, the data transfer capability of the present invention can be easily adapted to support these devices. The present invention provides an extensible capability that supports sending different classes of information using a commonly-available transport mechanism with a small set of functions making up the public interface. Furthermore, as the commonly-available transport mechanisms are improved, or replaced by superior capabilities, the simple public interface will continue to apply, and, therefore, can be taken advantage of without the need to modify the applications using the data transfer capability of the present invention.

[0011] Consistent with the title of this section, the above summary is not intended to be an exhaustive discussion of all the features or embodiments of the present invention. A more complete, although not necessarily exhaustive, description of the features and embodiments of the invention is found in the section entitled "DESCRIPTION OF THE PREFERRED EMBODIMENTS."

BRIEF DESCRIPTION OF THE DRAWINGS

[0012] A more complete appreciation of the invention and many of the attendant advantages thereof will be readily obtained as the same becomes better understood by reference to the following detailed description when considered in connection with the accompanying drawings, wherein:

Figure 1 illustrates three networked business office devices connected to a network of computers and databases through the Internet;

Figure 2 illustrates the components of a digital image forming apparatus;

Figure 3 illustrates the electronic components of the digital image forming apparatus illustrated in Figure 2;

Figure 4 illustrates details of a multi-port communication interface illustrated in Figure 3;

Figure 5 illustrates an alternative system configuration in which business office devices are either connected directly to the network or connected to a computer which is connected to the network;

Figure 6A is a block diagram illustrating a flow of information to and from an application unit using electronic mail;

Figure 6B illustrates an alternative way of communicating using electronic mail in which a computer that is connected to the application unit also serves as a Message Transfer Agent (MTA);

Figure 6C illustrates an alternative way of communicating using electronic mail in which an application unit includes a message transfer agent for exchanging electronic mail;

Figure 6D illustrates an alternative way of communicating using electronic mail in which a mail server acts as a POP3 server to receive mail for an appliance/device and as an Simple Mail Transfer Protocol (SMTP) server to send mail for the appliance/device;

Figure 7 illustrates an alternative manner of sending messages across the Internet;

Figure 8 illustrates an exemplary computer which may be connected to an appliance/device and used to communicate electronic mail messages;

Figure 9 illustrates an overall system configuration related to the present invention;

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Figure 10A illustrates a general software architecture of a message sending module;
Figure 10B illustrates a general software architecture of a message receiving module;
Figure 11 illustrates a general architecture of a message sending module;
Figure 12 illustrates a general architecture of a message receiving module;
Figure 13A is a flowchart illustrating a process implemented by the device information module shown in Figure 11;
Figure 13B illustrates a class structure of the device information module;
Figure 14 is a collaboration diagram for the device information module;
Figure 15A is a flowchart illustrating a process implemented by the device monitor module shown in Figure 11;
Figure 15B illustrates a class structure of the device monitor module;
Figures 16, 17 and 18 are collaboration diagrams for the device monitor module;
Figure 19A is a flowchart illustrating a process implemented by the data transfer module shown in Figure 11;
Figure 19B is a flowchart illustrating a process for sending information according to one embodiment of the present invention;
Figure 19C illustrates a class structure of the data transfer module;
Figures 20A, 21, 22, and 23 are collaboration diagrams for the data transfer module in transferring information to monitoring site;
Figure 20B illustrates an exemplary MIME attachment including configuration information according to one embodiment of the present invention;
Figure 20C illustrates an exemplary MIME attachment including status information according to one embodiment of the present invention; and
Figure 24 illustrates a class diagram of the Open Database Connectivity (ODBC) interface module.

DESCRIPTION OF THE PREFERRED EMBODIMENTS

[0013] Referring now to the drawings, and more particularly to Figure 1 thereof, there are illustrated (1) various machines and (2) computers for monitoring, diagnosing and controlling the operation of the machines. In Figure 1, there is a first network 16, such as a Local Area Network (LAN) connected to computer workstations 17, 18, 20 and 22. The workstations can be any type of computers including, e.g., IBM Personal Computer compatible devices, Unix-based computers, Linux-based computers or Apple Macintoshes. Also connected to the network 16 are (1) a digital image forming apparatus 24, (2) a facsimile machine 28, and (3) a printer 32. As would be appreciated by one of ordinary skill in the art, two or more of the components of the digital image forming apparatus 24 and the facsimile machine 28 can be combined into a unified "image forming apparatus." The devices 24, 28 and 32 and the workstations 17, 18, 20 and 22 are referred to as machines or monitored devices and other types of devices may be used as the machines or monitored devices, including any of the devices discussed below. In some configurations, one or more workstations may be converted to business office appliances. One example of such a business office appliance is eCabinet from Ricoh, which was demonstrated at Fall Comdex in 1999 at Las Vegas. Also, a facsimile server (not illustrated) may be connected to the network 16 and have a telephone, Integrated Services Digital Network (ISDN), cable or wireless connection. In addition to the digital image forming apparatus 24, facsimile machine 28, and printer 32 being connected to the network 16, these devices may also include conventional telephone and/or ISDN and/or cable and/or wireless connections 26, 30 and 34, respectively. As is explained below, the business office machines, business devices, or business office appliances 24, 28 and 32 communicate with a remote monitoring, diagnosis, and control station, also referred to as a monitoring device, through, for example, the Internet via the network 16 or by a direct telephone, ISDN, wireless, or cable connection.

[0014] In Figure 1, a wide area network (WAN) (e.g., the Internet or its successor) is generally designated by 10. The WAN 10 can be either a private WAN, a public WAN or a hybrid. The WAN 10 includes a plurality of interconnected computers and routers designated by 12A-12I. The manner of communicating over a WAN is known through a series of Request for Comments (RFC) documents available from the Internet Engineering Task Force (IETF) at http://www.ietf.org/rfc.html, including RFC 821 entitled "Simple Mail Transfer Protocol"; RFC 822 entitled "Standard for the Format of ARPA Internet Text Message"; RFC 959 entitled "File Transfer Protocol (FTP)"; RFC 2045 entitled "Multipurpose Internet Mail Extensions (MIME) Part One: Format of Internet Message Bodies"; RFC 1894 entitled "An Extensible Message Format for Delivery Status Notifications"; RFC 1939 entitled "Post Office protocol - Version 3"; and RFC 2298 entitled "An Extensible Message Format for Message Disposition Notifications." The contents of each of these references are incorporated herein by reference.

[0015] Transmission Control Protocol/Internet Protocol (TCP/IP) related communication is described, for example, in the book "TCP/IP Illustrated," Vol. 1, The Protocols, by W.R. Stevens, from Addison-Wesley Publishing Company, 1994, the entire contents of which is incorporated herein by reference. Volumes 1-3 of "Internetworking with TCP/IP" by Comer and Stevens are also incorporated herein by reference in their entirety.

[0016] In Figure 1, a firewall 50A is connected between the WAN 10 and the network 16. A firewall is a device that

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allows only authorized computers on one side of the firewall to access a network, computers or individual parts on the other side of the firewall. Firewalls are known and commercially available devices and/or software (e.g., SunScreen from Sun Microsystems Inc.). Similarly, firewalls 50B and 50C separate the WAN 10 from a network 52 and a workstation 42, respectively. Additional details on firewalls can be found in "Firewalls and Internet Security" by W. R. Cheswick, and S. M. Bellovin, 1994, AddisonWesley Publishing, and "Building Internet Firewalls" by D. B. Chapman and E. D. Zwicky, 1995, OReilly & Associates, Inc. The entire contents of those two references are incorporated herein by reference.

[0017] The network 52 is a conventional network and includes a plurality of workstations 56, 62, 68 and 74. These workstations may be in different departments (e.g., marketing, manufacturing, design engineering, and customer service departments) within a single company. In addition to the workstations connected via the network 52, there is a workstation 42, which is not directly connected to the network 52. Information in a database stored in a disk 46 may be shared using proper encryption and protocols over the WAN 10 to the workstations connected directly to the network 52. Also, the workstation 42 includes a direct connection to a telephone line and/or an ISDN and/or a cable and/or a wireless network 44, and the database in disk 46 may be accessed through the telephone line, the ISDN, the cable or wirelessly. The cable used by this invention may be implemented using a cable that is typically used to carry television programming, a cable that provides for high-speed communication of digital data typically used with computers or the like, or any other desired type of cable.

[0018] Information of the business office machines, business devices or business office appliances 24, 28 and 32 may be stored in one or more of the databases stored in the disks 46, 54, 58, 64, 70 and 76. Known databases include (1) SQL databases by Microsoft, IBM, Oracle and Sybase (2) other relational databases, and (3) non-relational databases (including object oriented databases from Computer Associates, JYD Software Engineering, and Orient Technologies). Each of the customer service, marketing, manufacturing, and engineering departments may have their own database or may share one or more databases. Each of the disks used to store databases is a non-volatile memory such as a hard disk or optical disk. Alternatively, the databases may be stored in any storage device including solid state and/or semiconductor memory devices. As an example, disk 64 contains the marketing database, disk 58 contains the manufacturing database, disk 70 contains the engineering database and disk 76 contains the customer service database. Alternatively, the disks 54 and 46 store one or more of the databases.

[0019] In addition to the workstations 56, 62, 68, 74 and 42 being connected to the WAN 10, these workstations may also include a connection to a telephone line, ISDN, cable, or wireless network which provides a secure connection to the machine being monitored, diagnosed and/or controlled, and is used during communication. Additionally, if one communication medium is not operating properly, one of the others can be automatically used for communication.

[0020] A feature of the present invention is the use of a "store-and-forward" mode of communication (e.g., Internet electronic mail, also referred to herein as e-mail) or transmission between a machine and a computer for diagnosing and controlling the machine. Alternatively, the message which is transmitted maybe implemented using a mode of communication that makes direct, end-to-end connections (e.g., using a socket connection to the ultimate destination) such as FTP and Hyper Text Transfer Protocol (HTTP).

[0021] Figure 2 illustrates the mechanical layout of the digital image forming apparatus 24 illustrated in Figure 1. In Figure 2, 101 is a fan for the scanner, 102 is a polygonal mirror used with a laser printer, and 103 designates an Fθ lens used to collimate light from a laser (not illustrated). Reference numeral 104 designates a sensor for detecting light from the scanner. Reference numeral 105 designates a lens for focusing light from the scanner onto the sensor 104, and reference numeral 106 designates a quenching lamp used to erase images on the photoconductive drum 132. There is a charging corona unit 107 and a developing roller 108. Reference numeral 109 designates a lamp used to illustrate a document to be scanned and 110, 111, and 112 designate mirrors used to reflect light onto the sensor 104. There is a drum mirror 113 used to reflect light to the photoconductive drum 132 originating from the polygon mirror 102. Reference numeral 114 designates a fan used to cool the charging area of the digital image forming apparatus, and reference numeral 115 designates a first paper feed roller used for feeding paper from the first paper cassette 117, and reference numeral 116 designates a manual feed table. Similarly, reference numeral 118 designates a second paper feed roller for the second cassette 119. Reference numeral 120 designates a relay roller, 121 designates a registration roller, 122 designates an image density sensor, and 123 designates a transfer/separation corona unit. Reference numeral 124 designates a cleaning unit, 125 designates a vacuum fan, 126 designates a transport belt, 127 designates a pressure roller; and 128 designates an exit roller. Reference numeral 129 designates a hot roller used to fix toner onto the paper, 130 designates an exhaust fan and 131 designates the main motor used to drive the digital image forming apparatus.

[0022] Figure 3 is a block diagram illustrating the electronic components of the digital image forming apparatus of Figure 2. The CPU 160 is a microprocessor and acts as the system's controller. Random access memory (RAM) 162 stores dynamically changing information including operating parameters of the digital image forming apparatus. A non-volatile memory (e.g., a read only memory 10 (ROM) 164 or a Flash Memory) stores (1) the program code used to run the digital image forming apparatus and (2) static-state data, describing the copier (e.g., the model number, serial

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number of the copier, and default parameters).

[0023] There is a multi-port network interface 166 which allows the digital image forming apparatus to communicate with external devices through at least one network. Reference number 168 represents a telephone, ISDN, or cable line, and numeral 170 represents another type of network. Additional details of the multi-port network interface are described with respect to Figure 4. An interface controller 172 is used to connect an operation panel 174 to a system bus 186. The operation panel 174 includes standard input and output devices found on a digital image forming apparatus including a copy button, keys to control the operation of the copier such as number of copies, reduction/enlargement, darkness/lightness, etc. Additionally, a liquid crystal display may be included within the operation panel 174 to display parameters and messages of the digital image forming apparatus to a user.

[0024] A local connection interface 171 is a connection through local ports such as RS232, the parallel printer port, USB, and IEEE 1394. FireWire (IEEE 1394) is described in Wickelgren, I., "The Facts About "FireWire", IEEE Spectrum, April 1997, Vol. 34, Number 4, pp. 19-25, the entire contents of which are incorporated herein by reference. Preferably, a "reliable" communication protocol is used which includes error detection and retransmission.

[0025] A storage interface 176 connects storage devices to the system bus 186. The storage devices include a flash memory 178, which can be substituted by a conventional Electrically Erasable Programmable Read Only Memory (EEPROM), and a disk 182. The disk 182 includes a hard disk, optical disk, and/or a floppy disk drive. There is a connection 180 connected to the storage interface 176 which allows for additional memory devices to be connected to the digital image forming apparatus. The flash memory 178 is used to store semi-static state data which describes parameters of the digital image forming apparatus which infrequently change over the life of the copier. Such parameters include the options and configuration of the digital image forming apparatus. An option interface 184 allows additional hardware such as an external interface to be connected to the digital image forming apparatus. A clock/timer 187 is utilized to keep track of both the time and date and also to measure elapsed time.

[0026] On the left side of Figure 3, the various sections making up the digital image forming device are illustrated. Reference numeral 202 designates a sorter and contains sensors and

actuators used to sort the output of the digital image forming device. There is a duplexer 200 which allows a duplex operation to be performed by the digital image forming device and includes conventional sensors and actuators. The digital image forming device includes a large capacity tray unit 198 which allows paper trays holding a large number of sheets to be used with the digital image forming device. The large capacity tray unit 198 includes conventional sensors and actuators.

[0027] A paper feed controller 196 is used to control the operation of feeding paper into and through the digital image forming device. A scanner 194 is used to scan images into the digital image forming device-and includes conventional scanning elements such as a light, mirror, etc. Additionally, scanner sensors are used such as a home position sensor to determine that the scanner is in the home position, and a lamp thermistor is used to ensure proper operation of the scanning lamp. There is a printer/imager 192 which prints the output of the digital image forming device, and includes a conventional laser printing mechanism, a toner sensor, and an image density sensor. The fuser 190 is used to fuse the toner onto the page using a high temperature roller and includes an exit sensor, a thermistor to assure that the fuser 190 is not overheating, and an oil sensor. Additionally, there is an optional unit interface 188 used to connect to optional elements of the digital image forming device such as an automatic document feeder, a different type of sorter/collator, or other elements which can be added to the digital image forming device.

[0028] Figure 4 illustrates details of the multi-port network interface 166. The digital image forming device may communicate to external devices through a token ring interface 220, a cable modem unit 222, which has a high speed connection over cable, a conventional telephone interface 224, which connects to a telephone line 168A, an ISDN interface 226, which connects to an ISDN line 168B, a wireless interface 228, or an ethernet interface 230, which connects to a LAN 170. Other interfaces may include, but are not limited to, a Digital Subscriber Line (DSL) (original DSL, concentric DSL, and asymmetric DSL). A single device which connects to both a Local Area Network and a telephone line is commercially available from Megahertz and is known as the Ethernet-Modem.

[0029] The CPU or other microprocessor or circuitry executes a monitoring process to monitor the state of each of the sensors of the digital image forming device, and a sequencing process is used to execute the instructions of the code used to control and operate the digital image forming device. Additionally, there is (1) a central system control process executed to control the overall operation of the digital image forming device, and (2) a communication process used to assure reliable communication to external devices connected to the digital image forming device. The system control process monitors and controls data storage in a static state memory (e.g., the ROM 164 of Figure 3), a semi-static memory (e.g., the flash memory 178 or disk 182), or the dynamic state memory (e.g., a volatile or non-volatile memory (e.g., the RAM 162 or the flash memory 178 or disk 182). Additionally, the static state memory may be a device other than the ROM 164 such as a non-volatile memory including either of the flash memory 178 or disk 182.

[0030] The above details have been described with respect to a digital image forming device, but the present invention is equally applicable to other business office machines or devices such as an analog copier, a facsimile machine, a scanner, a printer, a facsimile server, or other business office machines, a business office appliance, or other appliances

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(e.g., a microwave oven, VCR, digital camera, cellular phone, palm top computer). Additionally, the present invention includes other types of devices which operate using store-and-forward or direct connection-based communication. Such devices include metering systems (including gas, water, or electricity metering systems), vending machines, or any mechanical device (e.g., automobiles) that needs to be monitored during operation or remote diagnosis. In addition to monitoring special purpose machines and computers, the invention can be used to monitor, control, and diagnose a general purpose computer that would be the monitored and/or controlled device.

[0031] Figure 5 illustrates an alternative system diagram of the present invention in which different devices and subsystems are connected to the WAN 10. However, there is no requirement to have each of these devices or sub-systems as part of the invention. Each component or subsystem illustrated in Figure 5 is individually part of the invention. Further, the elements illustrated in Figure 1 may be connected to the WAN 10 which is illustrated in Figure 5. In Figure 5, there is illustrated a firewall 50-1 connected to an intranet 260-1. A service machine 254 connected to the intranet 260-1 includes therein, or has connected thereto, data 256 that may be stored in a database format. The data 256 includes history, performance, malfunction, and any other information such as statistical information of the operation or failure or set-up the monitored devices, or configuration information such as which components or optional equipment is included with the monitored devices. The service machine 254 may be implemented as the device or computer which requests the monitored devices to transmit data, or which requests that remote control and/or diagnostic tests be performed on the monitored devices. The service machine 254 may be implemented as any type of device, and is preferably implemented using a computerized device such as a general purpose computer.

[0032] Another sub-system of Figure 5 includes a firewall 50-2, an intranet 260-2, and a printer 262 connected thereto. In this sub-system, the functions of sending and receiving electronic messages by the printer 262 (and similarly by a copier 286) are performed by (1) circuitry, (2) a microprocessor, or (3) any other type of hardware contained within or mounted to the printer 262 (i.e., without using a separate general purpose computer).

[0033] An alternate type of sub-system includes the use of an Internet Service Provider 264 which may be any type of Internet Service Provider (ISP), including known commercial companies such as America Online, Earthlink, and Niflyserve. In this sub-system, a computer 266 is connected to the ISP 264 through a digital or analog modem (e.g., a telephone line modem, a cable modem, modems which use any type of wires such as modems used over an Integrated Services Digital Network (ISDN) line or an Asymmetric Digital Subscriber Line (ADSL), modems which use frame relay communication, wireless modems such as a radio frequency modem, a fiber optic modem, or a device which uses infrared light waves). Further, a business office device 268 is connected to the computer 266. As an alternative to the business office device 268 (or any other device illustrated in Figure 5), a different type of machine may be monitored or controlled such as a digital copier, any type of appliance, security system, or utility meter, such as an electrical, water, or gas utility meter, or any other device discussed herein.

[0034] Also illustrated in Figure 5 is a firewall 50-3 connected to a network 274. The network 274 may be implemented as any type of computer network, (e.g., an ethernet or token ring network). Networking software which may be used to control the network includes any desired networking software including software commercially available from Novell or Microsoft. The network 274 may be implemented as an intranet, if desired. A computer 272 connected to the network 274 may be used to obtain information from a business office device 278 and generate reports such as reports showing problems that occurred in various machines connected to the network, and a monthly usage report of the devices connected to the network 274. In this embodiment, a computer 276 is connected between the business office device 278 and the network 274. This computer receives communications from the network and forwards the appropriate commands or data, or any other information, to the business office device 278. Communication between the business office device 278 and the computer 276 may be accomplished using wire-based or wireless methods including, but not limited to, radio frequency connections, electrical connections and light connections (e.g., an infrared connection, or a fiber optics connection). Similarly, each of the various networks and intranets illustrated in Figure 5 may be established using any desired manner including through the establishment of wireless networks such as radio frequency networks. The wireless communication described herein may be established using spread spectrum techniques including techniques which use a spreading code and frequency hopping techniques such as the frequency hopping wireless technique which is disclosed in the Bluetooth Specification LOA (available at the World Wide Web site www.bluetooth.com), which is incorporated herein by reference.

[0035] Another sub-system illustrated in Figure 5 includes a firewall 50-4, an intranet 260-4, a computer 282 connected thereto, a business office appliance 285 and a copier 286. The computer 282 may be used to generate reports and request diagnostic or control procedures. These diagnostic and control procedures may be performed with respect to the business office appliance 285 and the copier 286 or any of the other devices illustrated in or used with Figure 5. While Figure 5 illustrates a plurality of firewalls, the firewalls are preferable, but optional equipment, and therefore, the invention may be operated without the use of firewalls, if desired.

[0036] Figure 6A illustrates a device/appliance 300 connected to a typical e-mail exchange system which includes components 302, 304,306,308, 310, 312, 314, 316, and 318, which may be implemented in a conventional manner, and are adapted from Figure 28.1 of Stevens, above. A computer interface 302 interfaces with any of the application

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units or devices/appliances 300 described herein. While Figure 6A illustrates that the device/appliance 300 is the sender, the sending and receiving functions may be reversed in Figure 6A. Furthermore, if desired, the user may not be needed to interface with the device/appliance 300 at all. The computer interface 302 then interacts with a mail agent 304. Popular mail agents for Unix include MH, Berkeley Mail, Elm, and Mush. Mail agents for the Windows family of operating systems include Microsoft Outlook and Microsoft Outlook Express. At the request of the computer interface 302, the mail agent 304 creates e-mail messages to be sent and, if desired, places these messages to be sent in a queue 306. The mail to be sent is forwarded to a Message Transfer Agent (MTA) 308. A common MTA for Unix systems is Sendmail. Typically, the message transfer agents 308 and 312 exchange communications using a TCP/IP connection 310. Notably, the communication between the message transfer agents 308 and 312 may occur over any size network (e.g., WAN or LAN). Further, the message transfer agents 308 and 312 may use any communication protocol. In one embodiment of the present invention, elements 302 and 304 of Figure 6A reside in the library to monitor the usage of the application unit.

[0037] From the message transfer agent 312, e-mail messages are stored in user mailboxes 314 which are transferred to the mail agent 316 and ultimately transmitted to the user at a terminal 318 which functions as a receiving terminal.

[0038] This "store-and-forward" process relieves the sending mail agent 304 from having to wait until a direct connection is established with the mail recipient. Because of network delays, the communication could require a substantial amount of time during which the application would be unresponsive. Such an unresponsiveness is generally unacceptable to users of the application unit. By using. e-mail as the store-and-forward process, retransmission attempts after failures occur automatically for a fixed period of time (e.g., three days). In an alternate embodiment, the application can avoid waiting by passing communicating requests to one or more separate threads. Those threads can then control communication with the receiving terminal 318 while the application begins responding to the user interface again. In yet another embodiment in which a user wishes to have communication completed before continuing, direct communication with the receiving terminal is used. Such direct communication can utilize any protocol not blocked by a firewall between the sending and receiving terminals. Examples of such protocols include File Transfer Protocol (FTP) and Hyper Text Transfer Protocol (HTTP).

[0039] Public WANs, such as the Internet, are generally not considered to be secure. Therefore, if it is desired to keep messages confidential, messages transmitted over the public WANs (and multi-company private WANs) can be encrypted. Encryption mechanisms are known and commercially available which may be used with the present invention. For example, a C++ library function, crypt(), is available from Sun Microsystems for use with the Unix operating system. Other encryption and decryption software packages are known and commercially available and may also be used with this invention. One such package is PGP Virtual Private Network (VPN) available from Network Associates. Other VPN software is available from Microsoft Corporation.

[0040] As an alternative to the general structure of Figure 6A, a single computer may be used which functions as the computer interface 302, the mail agent 304, the mail queue 306 and the message transfer agent 308. As illustrated in Figure 6B, the device/appliance 300 is connected to a computer 301 which includes the message transfer agent 308.

[0041] A further alternative structure is shown in Figure 6C in which the message transfer agent 308 is formed as part of the device/appliance 300. Further, the message transfer agent 308 is connected to the message transfer agent 312 by a TCP/IP connection 310. In the embodiment of Figure 6C, the device/appliance 300 is directly connected to the TCP/IP connection 310 with an e-mail capability. One use of the embodiment of Figure 6C includes using a facsimile machine with an e-mail capability (e.g., as defined in RFC 2305 (a simple mode of facsimile using Internet mail)) as the device/appliance 300.

[0042] Figure 6D illustrates a system in which a device/appliance 300 does not by itself have the capability to directly receive e-mail, but has a connection 310 to a mail server/POP3 server including a message transfer agent 308 and a mail box 314 so that the device/appliance 300 uses the POP3 protocol to retrieve received mail from the mail server.

[0043] Figure 7 illustrates an alternative implementation of transferring mail and is adapted from Figure 28.3 of Stevens referenced previously. Figure 7 illustrates an electronic mail system having a relay system at each end. The arrangement of Figure 7 allows one system at an organization to act as a mail hub. In Figure 7, there are four MTAs connected between the two mail agents 304 and 316. These MTAs include local MTA 322A, relay MTA 328A, relay MTA 328B, and local MTA 322D. The most common protocol used for mail messages is SMTP (Simple Mail Transfer Protocol) which may be used with this invention, although any desired mail protocol may be utilized. In Figure 7, 320 designates a sending host which includes the computer interface 302, the mail agent 304, and the local MTA 322A. The device/appliance 300 is connected to, or alternatively included within, the sending host 320. As another case, the device/appliance 300 and host 320 can be in one machine where the host capability is built into the device/appliance 300. Other local MTAs 322B, 322C, 322E and 322E may also be included. Mail to be transmitted and received may be queued in a queue of mail 306B of the relay MTA 328A. The messages are transferred across the TCP/IP connection 310 (e.g., an Internet connection or a connection across any other type of network).

[0044] The transmitted messages are received by the relay MTA 328B and if desired, stored in a queue of mail 306C.

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The mail is then forwarded to the local MTA 322D of a receiving host 342. The mail may be placed in one or more of the user mailboxes 314 and subsequently forwarded to the mail agent 316, and finally forwarded to the user at a terminal 318. If desired, the mail may be directly forwarded to the terminal without user interaction.

[0045] The various computers used in the present invention, including the computers 266 and 276 of Figure 5, may be implemented as illustrated in Figure 8. Further, any other computer used in this invention may be implemented in a similar manner to the computer illustrated in Figure 8, if desired, including the service machine 254, computer 272, and computer 282 of Figure 5. However, not every element illustrated in Figure 8 is required in each of those computers.

[0046] In Figure 8, the computer 360 includes a CPU 362 which may be implemented as any type of processor including commercially available microprocessors from companies such as Intel, AMD, Motorola, Hitachi and NEC. There is a working memory such as a RAM 364, and a wireless interface 366 which communicates with a wireless device 368. The communication between the interface 366 and device 368 may use any wireless medium (e.g., radio waves or light waves). The radio waves may be implemented using a spread spectrum technique such as Code Division Multiple Access (CDMA) communication or using a frequency hopping technique such as that disclosed in the Bluetooth specification.

[0047] There is a ROM 370 and a flash memory 371, although any other type of non-volatile memory (e.g., Erasable Programable ROM, or an EEPROM) may be used in addition to or in place of the flash memory 371. An input controller 372 has connected thereto a keyboard 374 and a mouse 376. There is a serial interface 378 connected to a serial device 380. Additionally, a parallel interface 382 is connected to a parallel device 384, a universal serial bus (USB) interface 386 is connected to a universal serial bus device 388, and also there is an IEEE 1394 device 400, commonly referred to as a fire wire device, connected to an IEEE 1394 interface 398. The various elements of the computer 360 are connected by a system bus 390. A disk controller 396 is connected to a floppy disk drive 394 and a hard disk drive 392. A communication controller 400 allows the computer 360 to communicate with other computers (e.g., by sending e-mail messages) over a telephone line 402 or a network 404. An I/O (Input/Output) controller 408 is connected to a printer 410 and a hard disk 412, for example using a SCSI (Small Computer System Interface) bus. There is also a display controller 416 connected to a CRT (Cathode Ray Tube) 414, although any other type of display may be used including a liquid crystal display, a light emitting diode display, a plasma display, etc.

[0048] Figure 9 illustrates an application of the present invention. Devices 901, 903, 905 and 907 that are connected to the Intranet 910 are the devices to be monitored locally by a remote monitoring workstation 911 with its database 913. Alternatively, the remote monitoring workstation 911 can function to send the device status information to the central monitoring workstation 945 by polling the information from the monitored devices 901, 903, 905, and 907 and by sending the information through the firewall 917. The remote monitoring workstation 911, therefore, can function either as a monitoring device or as a communication and administrative device between the monitored devices and monitoring device. In Figure 9, the remote monitoring workstation 911 uses the Simple Network Management Protocol (SNMP) defined by IETF to communicate with the attached devices. SNMP is described in "Managing Internetworks with SNMP, third edition" by Mark A. Miller, P.E., M & T Book, 1999. The entire contents of this reference are incorporated herein by reference. If some of the devices to be monitored do not support SNMP, the remote monitoring workstation 911 can use a different method to obtain the necessary information. After obtaining the necessary information, the remote monitoring workstation 911 uses the Simple Mail Transfer Protocol (SMTP) Server 915 to send out the necessary information to the central monitoring workstation 945 through the Mail Server 943 that supports the Post Office Protocol Version 3 (POP3) (IETF Networking Group Request For Comments [RFC]: 1939). The remote monitoring workstation 911 uses SMTP (SMTP is defined in IETF RFC 821) and possibly Multipurpose Internet Mail Extensions (MIME) to send e-mails. The remote monitoring workstation 911 generates the mail message that is at and above the Application Layer of the TCP/IP model or the ISO seven-layer model, as shown later. Alternatively, the remote monitoring workstation 911 may include an SMTP processor to send out the necessary information using e-mail.

[0049] The LAN 920 and intranet 930 send similar information to the central monitoring workstation 945. When the e-mails that contain the monitoring information of devices arrive at the firewall 941 of the intranet 950, the mail is routed to the Mail Server 943 with POP3. The central monitoring workstation 945 periodically accesses the Mail Server 943 to obtain the arrived e-mail, parse the mail and its content via POP3 and stores the necessary information in the database 947. The database 949 contains the additional information of the monitored device characteristics and history. The computers 951 and 953 perform the analysis of obtained data to take the necessary actions. Alternatively, the central monitoring workstation 945 may contain a mail receiving capability, and the firewall may route the e-mail directly to the central monitoring workstation 945.

[0050] Figures 10A and 10B illustrate an overall software architecture of the system shown in Figure 9 according to one embodiment of the present invention. Figure 10A illustrates the architecture of the software used by the networks that send the e-mails with the information on the monitored devices in Figure 9 according to one embodiment of the present invention. The Sender Service 1001 module is the system resident software that sets up the destination for the monitored information to be sent, initiates the sending of the configuration and contact information to the destination, and periodically monitors and sends the information to the destination by using the three functions defined in 1000 (i.

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e., setDestination, obtainAndUpdateStatus, and sendConfig) to trigger the send module, Monitor_Send DLL 1003. The Monitor_Send DLL 1003 module uses two other modules, the Database 1005 module to store the device information and device-related information along with the monitored information that is stored until it is sent out, and the SNMP++ DLL 1007 module that is used to obtain the information from the devices.

[0051] Figure 10B illustrates the architecture of the software used by the receiving side (e.g., intranet 950) in Figure 9 according to one embodiment of the present invention. The Receiver Service 1011 module is the system resident software that sets up access to the mail server where the monitored information is to be sent. and periodically obtains the monitored information from the mail server through the two functions defined in 1010 (i.e., setupPOP3Server, and getMailAndUpdateDatabase) to trigger the Receive_Store DLL 1013 module. The Receive_Store DLL 1013 module uses two other modules, the Database 1017 module to store device information and device-related information along with the monitored information and the POP3 1015 module to retrieve information from the mail server.

[0052] Figure 11 illustrates the general architecture of the Monitor_Send DLL 1003 module according to one embodiment of the present invention. This part of the system is responsible for monitoring the status of the devices and for sending e-mails containing status and configuration information of the monitored devices. The Interface 1101 module allows any application to use the Monitor_Send DLL 1003 module. For example, the Sender Service 1001 module in Figure 10A accesses the Monitor_Send DLL 1003 module through the Interface 1101 module. The Device Information 1105 module is responsible for obtaining configuration information from the monitored devices and initiating the sending of the configuration information. The Device Monitor 1103 module is responsible for obtaining status information from the monitored devices and initiating the sending of the status information. The Data Transfer 1107 module is responsible for providing a method through which the status and configuration information is sent. The ODBC Interface 1109 module provides a method to access and store information in a database. Each of the components of the Monitor_Send DLL 1003 module provides interface functions that allow them to perform its tasks. For example, the functions of the Data Transfer 1107 module are provided through four interface functions, setDestination, startSend, dataSend, and endSend.

[0053] Figure 12 illustrates a general architecture of the Receive_Store DLL 1013 module according to one embodiment of the present invention. This part of the system is responsible for retrieving the information that was sent to it by the Monitor_Send DLL 1003 module and storing the information in the database. The Interface 1101 module allows any application to use the Receive_Store DLL 1013 module. For example, the Receiver Service 1011 module in Figure 10B accesses the Receive_Store DLL 1013 module through the Interface 1101 module. The Receive Manager 1203 module is responsible for obtaining the configuration information and status information of the monitored devices from the POP3 server and storing that information in the database. The Data Retriever 1205 module is responsible for retrieving the data from the POP3 server. The POP3 Processor 1207 module is responsible for accessing the information sent to it by the Monitor_Send DLL 1003 module. The Parser 1211 module is responsible for parsing the information obtained from the POP3 server. The ODBC Interface 1109 module is responsible for storing the information sent to it in a database. Each of the components of the Receive_Store DLL 1013 module provides interface functions that allow them to perform its tasks.

[0054] Figure 13A is a flowchart providing an overview of the functions performed by the Device Information 1105 module in the context of the system diagram of Figure 9. This process focuses on the sending of configuration information of the monitored devices from the remote monitoring workstation 911 to the central monitoring workstation 945, and not the sending of status information, which is described below in the context of the Device Monitor 1103 module. Configuration information for the monitored devices maintained by the central monitor may be either originally sent, or updated, through the functions performed by the Device Information 1105 module, as will be understood in light of the description provided herein.

[0055] As shown in Figure 13A, the process begins with step S1301 where the database 913 is queried by the remote monitoring workstation 911 to obtain configuration information and IP address information corresponding to the devices being monitored by that particular remote monitoring workstation 911. The process then proceeds to step S1302 where, using the IP address obtained from the database 913, the remote monitoring workstation 911 queries the individual monitored devices using SNMP commands to obtain a device-unique identifier (e.g., a MAC address) for each of the devices being monitored. The process then proceeds to step S1303 where the remote monitoring workstation 911 stores the device-unique identifier in the database. The process then proceeds to step S1304 where the configuration information, including the IP address obtained from the database 913 and the device-unique identifier obtained through SNMP commands, are formatted into a common map structure. The process then proceeds to step S1305 where the configuration information including the device-unique identifier is sent to the central monitoring workstation 945 via an e-mail message through the SMTP server 915. Once the information has been sent, the process ends.

[0056] Figure 13B is a class diagram illustrating one embodiment of the Device Information 1105 module of Figure 11 according to the present invention. The Device Information 1105 module is responsible for triggering the Data Transfer 1107 module to start the sending of configuration information, obtaining the device configuration information from the database 913 via the ODBC Interface 1109 module, obtaining a device-unique identifier (e.g., a MAC address)

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from the monitored SNMP devices and updating the device configuration information in the database 913 to include the device-unique identifier, formatting the device configuration information into a map structure, sending the map structure to the Data Transfer 1107 module, and completing the sending of the configuration information via the Data Transfer 1107 module.

[0057] The database 913 is not initially populated with a device-unique identifier for the monitored devices. The Device Information 1105 module is responsible for obtaining this information from the monitored devices based on information that is originally stored in the database (e.g,. IP address information), via SNMP commands. The device-unique identifier, obtained directly from the devices, is then populated by the Device Information 1105 module into the database 913.

[0058] The map structure used in storing the information to be sent from the remote monitoring workstation 911 to the central monitoring workstation 945 is a standard structure for storing key/value data. Each entry in the map includes a key indicating what the data represents, and a data field containing the value of the data. In one embodiment of the present invention, the key of the map is a string or a number associated with a particular data field, and the data field is a string value. Map structures are included with the standard C++ language, and similar structures, sometimes called a dictionary structure, are included with other standard languages. An example of a populated map structure is shown below as Table 1:

Table 1:

Example Map Structure Including Configuration Information	
Key	**Value (Data)**
"Manufacturer" (or 100)	"Xerox"
"Model" (or 101)	"DocuPrint N4025"
"SerialNumber" (or 102)	"PF4-027955"
"MACAddress" (or 103)	"00 00 AA 79 07 76"
"IPAddress" (or 104)	"172.30.4.53"
"CompanyName" (or 105)	"Ricoh Corporation"
"Street" (or 106)	"1996 Lundy Ave"
"City" (or 107)	"San Jose"
"State" (or 108)	"CA"
"ZipCode" (or 109)	"95131"
"Location" (or 110)	"Lab"
"ContactPerson" (or 111)	"John Smith"
"PhoneNumber" (or 112)	"4085551212"

[0059] The Device Information 1105 module contains two classes, CDeviceInformation 1301 and CIP_MACmap 1303. The CDeviceInformation 1301 class is responsible for obtaining the configuration information from the database 913, and initiating the sending of the information through e-mail from the remote monitoring workstation 911 to the central monitoring workstation 945. The CDeviceInformation 1301 class interacts with the database 913 via the ODBC Interface 1109 module to obtain the configuration information, and uses the Data Transfer 1107 module to transmit the configuration information to the central monitoring workstation 945.

[0060] The CIP_MACmap 1303 class makes use of the CSnmpResource 1305 class to obtain a physical address (e.g., a MAC address) from the monitored SNMP devices. The MAC address is used to uniquely identify the monitored devices within the database 947 maintained by, for example, the central monitoring workstation 945. While an IP address, for example, may uniquely identify a monitored device among the devices connected to a particular network monitored by the remote monitoring workstation 911, that address may not be unique among all of the networks being monitored by the central monitoring workstation 945. It is for this reason that, in this example, a MAC address is used to provide a globally unique identification for a particular device that can be relied on by the central monitoring workstation 945.

[0061] If other device-unique identification is available, the class structure shown in Figure 13B can be modified to accommodate that unique identification.

[0062] Figure 14 is a collaboration diagram illustrating the interaction among the classes of the Device Information

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1105 module shown in Figure 13B to obtain and send configuration information of a monitored device from the remote monitoring workstation 911 to the central monitoring workstation 945. As shown in Figure 14, the process is initiated by a call to the sendConfig() method of the CDeviceInformation 1403 class by the Interface 1101. In response, the CDeviceInformation 1403 class calls the startSend() method of the CDataTransfer 1405 class to initiate a communication link for sending of the e-mail message that will contain the configuration information. The CDeviceInformation 1403 class then calls the getDeviceInformation() method of the CSendODBCInterface 1411 class to obtain the configuration information. including the IP address, of the monitored device from the database. The CDeviceInformation 1403 class then calls the getMAcforIp() method of the CIP_MACmap 1407 class to obtain a physical address (e.g., the MAC address) for the monitored devices based on the IP address that was obtained from the database. In turn, the CIP_MACmap 1407 class calls the setIPAddressOfAgent() and getOctetStringValueForOID() methods of the CSnmpResource 1409 class to query the monitored device based on its IP address to receive its physical address through the appropriate SNMP functions. Next, the CDeviceInformation 1403 class calls the setDeviceInformation() method of the CSendODBCInterface 1411 class to store the configuration information in the database.

[0063] The CDeviceInformation 1403 class then calls the dataSend() method of the CDataTransfer 1405 class to send the configuration information, along with the physical address information, to the central monitoring workstation 945. Finally, the CDeviceInformation 1403 class calls the endSend() method of the CDataTransfer 1405 class to complete the sending of the configuration information.

[0064] Figure 15A is a flowchart providing an overview of the functions performed by the Device Monitor 1103 module in the context of the system diagram of Figure 9. This process focuses on the collection, storing, and sending of information of the monitored devices from the remote monitoring workstation 911 to the central monitoring workstation 945 as an e-mail message via the SMTP server 915.

[0065] As shown in Figure 15A, the process begins with step S1501 where it is determined whether information is to be sent to the central monitoring workstation 945. In one embodiment of the present invention, some information is sent from the remote monitoring workstation 911 to the central monitoring workstation 945 at a different frequency (e.g., less frequently) than a frequency that the monitored devices are polled for status. If it is determined that the collected information is not to be sent to the central monitoring workstation 945 (i.e., "NO" at step S1501), the process proceeds to step S1502 where the monitored devices are polled for a first type of information only.

[0066] The first type of information may include, for example, certain status information that may change states more frequently than information is reported to the central monitoring workstation. A second type of information may include a different class of status information, for example, a counter, a level indicator, or a configuration setting of a monitored device. For this second type of information, interim values between reporting periods are not of interest. As would be understood, it is quite possible that, depending on the frequency with which information is sent to the central monitoring workstation 945, status information corresponding to the first type of information, for example, an error condition, could have been corrected between transmissions to the central monitoring workstation 945. For that reason, it is helpful to store the first type of information, so that when information is sent to the central monitoring workstation 945, it can be reported that, in this example, a particular error condition, while not necessarily still present, had occurred since the last time information was sent. Accordingly, when the information, including both the first type and the second type of information, is sent to the central monitoring workstation 945, the first type of information stored in the database 913 is queried from the database 913 and sent along with the most recent information. Then, those values in the database 913 are reset to clear any information that had been stored leading up to the transmission to the central monitoring workstation 945.

[0067] Returning to Figure 15A, once the first type of information has been collected from the network device, the process proceeds to step S1503 where the first type of information is stored in the database 913 by the remote monitoring workstation 911. After the first type of information is stored in the database 913, the process ends.

[0068] If, on the other hand, it is determined that information is to be sent to the central monitoring workstation 945 (i.e., "YES" at step S1501), the process proceeds to step S1504 where the monitored devices are polled for both the first type of information and the second type of information. Once this information is obtained, the process proceeds to step S1505 where the database is queried for the stored first type of information previously collected. The process then proceeds to step S1506 where both the first type and the second type of information just collected, as well as the first type of information retrieved from the database, is formatted into a common map structure. This is the same map structure that was used by the Device Information 1105 module to send the configuration information. The process then proceeds to step S1507 where both the first type and second type of information is sent by the remote monitoring workstation 911 to the central monitoring workstation 945 as an e-mail message via the SMTP server 915. After the status information has been sent by the remote monitoring workstation 911, the process proceeds to step S1508 where, as discussed above, the remote monitoring workstation 911 resets the values corresponding to the first type of information stored in the database 913 to clear any conditions that may have been recorded leading up to the sending of the information. Once the database 913 values arereset, the process ends.

[0069] Figure 15B is a class diagram illustrating one embodiment of the Device Monitor 1103 module of Figure 11

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according to the present invention. The Device Monitor 1103 module is responsible for logging and maintaining information about the network devices. This Device Monitor 1103 module is also responsible for ensuring thatthe information is sent to the central monitoring workstation 945. If the information is not to be sent upon being collected, the Device Monitor 1103 module obtains and stores only certain types of information (e.g., occurrence of no toner, door open, jam, etc.) in the database 913. If the information is to be sent upon being collected, the Device Monitor 1103 module obtains other types of information, including, for example, less volatile status information. The Device Monitor 1103 module includes three classes. CDeviceStatusMonitorAndSendManager 1601, CDeviceStatusLogger 1603, and CSnmpResource 1607.

[0070] The CDeviceStatusMonitorAndSendManager 1601 class is responsible for obtaining the information from the monitored devices and sending the information to the central monitoring workstation 945. The CDeviceStatusMonitorAndSendManager 1601 class uses the Data Transfer 1107 module discussed above to send the information to the central monitoring workstation 945.

[0071] The CDeviceStatusLogger 1603 class is responsible for logging and maintaining the information of the monitored devices. The CDeviceStatusLogger 1603 class obtains and stores information of the monitored devices in the database 913 using the ODBC Interface 1109 module discussed above. The CDeviceStatusLogger 1603 class includes the DevicePerStatus structure for storing the first type of information of the monitored devices in the database 913. In one embodiment of the present invention, only this first type of information is stored in the database.

[0072] The CSnmpResource 1607 class is responsible for providing the network management protocol (e.g., SNMP) which provides the capability for collecting the information from the monitored devices. The CSnmpResource 1607 class uses the SNMP++ DLL 1609 to implement the Simple Network Management Protocol to gather the information from the monitored devices.

[0073] Figure 16 is a collaboration diagram illustrating the interaction among the classes of the Device Monitor 1103 module to obtain and store the first type of information from the monitored devices. As discussed above, if the information collected from the monitored devices is not to be sent to the central monitoring workstation 945 upon collection, only this first type of information is collected and stored in the database 913. As shown in Figure 16, the process is initiated by the CDeviceStatusMonitorAndSendManager 1601 class invoking the logDevicePerStatus() method of the CDeviceStatusLogger 1603 class to initiate the collection and storing of the first type of information of the monitored devices. The CDeviceStatusLogger 1603 class then calls the getDevicePerStatus() method of the ODBC Interface 1109 module to obtain the latest information of the monitored devices, including the IP addresses of the devices, from the database 913. Next, the CDeviceStatusLogger 1603 class calls the setIPAddressOfAgent() method of the CSnmpResource 1607 class which, in turn, calls the set_address() method of the SNMP++ DLL 1609 to establish an IP address of a device from which the first type of information is to be collected. Next, the CDeviceStatusLogger 1603 class calls the getOctetStringValueForOID() method of the CSnmpResource 1607 class which, in turn, calls the get() method and the get_value() method of the SNMP++ DLL 1609 to obtain the latest information of the monitored devices via SNMP using the IP address of the device. Once the information has been returned, the CDeviceStatusLogger 1603 class calls the setDevicePerStatus() method of the ODBC Interface 1109 module to store the information of the monitored devices in the database 913 using the DevicePerStatus 1505 structure.

[0074] Figure 17 is a collaboration diagram illustrating the interaction among the classes of the Device Monitor 1103 module to obtain both a first type and a second type of information from the monitored devices and to reset the values corresponding to the first type of information stored in the database 913 for each monitored device. As discussed above, if the information collected from the monitored devices is to be sent to the central monitoring workstation 945 upon collection, both the first type of information and the second type of information is collected. As shown in Figure 17, the process is initiated by the CDeviceStatusMonitorAndSendManager 1601 class invoking the getNextDeviceStatus() method of the CDeviceStatusLogger 1603 class to initiate the collection of the information (both the first type, and the second type of information) of the monitored devices. Steps 2-8 in collecting both types of information are the same as steps 2-8 described above (i.e., the calls to getDevicePerStatus(), setIPAddressOfAgent(), set_Address(), getOctetStringValueForOID(), get(), get_value(), and setDevicePerStatus()) in the context of Figure 16 for collecting only the first type of information. However, the call to the setDevicePerStatus() method of the ODBC Interface 1109 module in this case (i.e., step 8) is used to reset the values corresponding to the first type of information stored in the database.

[0075] After resetting the values in the database, the CDeviceStatusLogger 1603 class calls the getStringValueForOID() method of the CSnmpResource 1607 class which, in turn, calls the get() and get_printable_value() methods of the SNMP++ DLL 1609 module to obtain the second type of information from the monitored devices via SNMP commands.

[0076] Figure 18 is a collaboration diagram illustrating the interaction among the classes of the Device Monitor 1103 module to send both the first type and second type of information of the monitored devices to the central monitoring workstation 945. As shown in Figure 18, the process is initiated by the CDeviceStatusMonitorAndSendManager 1601 class invoking the getNextDeviceStatus() method of the CDeviceStatusLogger 1603 class to obtain the information of

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the monitored devices as discussed above in the context of Figure 17. Next, the CDeviceStatusMonitorAndSendManager 1601 class calls the startSend() and dataSend() methods of the Data Transfer 1107 module to initiate the sending of the information to the central monitoring workstation 945. Then, the CDeviceStatusMonitorAndSendManager 1601 class iteratively calls the getNextDeviceStatus() method of the CDeviceStatusLogger 1603 class to obtain information from a monitored device, followed by a call to the dataSend() method of the CDataTransfer 1405 class, shown in Figure 19C, of the Data Transfer 1107 module to send the information for a particular monitored device to the central monitoring workstation 945. Once information has been sent for all of the monitored devices, the CDeviceStatusMonitorAndSendManager 1601 class calls the endSend() method of the CDataTransfer 1405 class, shown in Figure 19C, of the Data Transfer 1107 module to complete the sending of the information.

[0077] Figure 19A is a flowchart providing an overview of the functions performed by the Data Transfer 1107 module in the context of the system diagram of Figure 9. This process focuses on the Data Transfer 1107 module responsible for sending the configuration and status information, and not the collection of the configuration and status information to be sent, as is described above in the context of the Device Information 1105 module and the Device Monitor 1103 module, respectively.

[0078] As shown in Figure 19A, the process begins with step S1901 where the system registry of the remote monitoring workstation 911 is populated with a source address and a destination address for e-mails transferring status information of the monitored devices. In this example, the source address will be the e-mail address of the remote monitoring workstation 911, and the destination address will be the e-mail address of the central monitoring workstation 945. Once the source and destination addresses have been populated in the system registry of the remote monitoring workstation 911, the transfer of information may begin.

[0079] The process then proceeds to step S1902 where a transfer of information commences. In step S1902, the remote monitoring workstation 911 accesses its system registry to obtain source and destination e-mail address information that will be used to populate header information for an e-mail message originating from the remote monitoring workstation 911 and having a destination of the central monitoring workstation 945.

[0080] Once the source and destination information has been obtained, the process proceeds to step S1903 where a communication link is established between the remote monitor workstation 911 and a Simple Mail Transfer Protocol (SMTP) Server 915. Once the communication link has been established, the process proceeds to step S1904, where the configuration or status information is sent as an e-mail message from the remote monitoring workstation 911 to the SMTP server 915 via the communication link. The SMTP server 915 will route the e-mail message to the appropriate recipient, in this case, the central monitoring workstation 945. In one embodiment of the present invention, the remote monitoring workstation 911 sends the configuration or status information as a Multipurpose Internet Mail Extensions (MIME) attachment to the Internet e-mail message. As discussed above, the configuration or status information, prior to sending it to the central monitoring workstation 945, is maintained in the database 913. Once the configuration or status information has been sent, the process proceeds to step S1905, where the remote monitoring workstation 911 will shut down the communication link between itself and the SMTP Server 915. Once the communication link has been shut down, the process ends.

[0081] Figure 19B is a flowchart describing in further detail the processing performed in sending configuration or status information as an attachment to an e-mail message (e.g., the process performed in step S1904 of Figure 19A) according to one embodiment of the present invention. As shown in Figure 19B, the sending the configuration or status information begins with step S 1910 where the configuration or status information in the map structure is formatted to be sent. The structure of the map is such that either configuration or status information data may be stored in the map. Once the data to be sent from the remote monitoring workstation 911 to the central monitoring workstation 945 has been formatted, the process proceeds to step S1911 where the data is encrypted. The Data Transfer 1107 module is configured to allow for a level of encryption for a particular application to match that application's needs without impacting the interface of the Data Transfer 1107 module. Once the data is encrypted, the process proceeds to step S1912 where the data is encoded. Once the data has been encrypted and encoded, the process proceeds to step S1913 where the data is sent via the communication link described above, for example, as a MIME attachment to an e-mail message. Once the data has been sent, the process ends.

[0082] The transfer of configuration or status information from the remote monitoring workstation 911 to the central monitoring workstation 945 has been described in the context of Figures 19A and 19B as using a store-and-forward protocol. Using a store-and-forward approach, for example, SMTP and POP3, the e-mail message is sent via the SMTP server 915 to a mail server, for example mail server POP3 943, in Figure 9. The mail server POP3 will store the e-mail message until it is retrieved by the intended recipient, which, in the example discussed above, is the central monitoring workstation 945. When the central monitoring workstation 945 connects to the mail server POP3 943, the mail server POP3 will forward all messages it has stored that have the central monitoring workstation 945 as an intended recipient.

[0083] Figure 19C is a class diagram illustrating one embodiment of the Data Transfer 1107 module of Figure 11 according to the present invention. The Data Transfer 1107 module is responsible for formatting the configuration or status information collected from the monitored devices, and for sending that information as an attachment to an e-

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mail message from a remote monitoring workstation 911 to a central monitoring workstation 945, using, for example, SMTP. In one embodiment of the present invention, the monitoring information is sent as a MIME attachment to an e-mail message. The Data Transfer 1107 module is also responsible for encrypting the data and encoding the encrypted data using, for example, Base64 encoding before sending the data. The Data Transfer 1107 module includes six classes: CDataTransfer 1405, CSendManager 1903, CAbsEncrypter 1905, CNullEncrypter 1907, CBase64Encoder 1909, and CSmtp 1911.

[0084] The CDataTransfer 1405 class provides the interface through which the functionality supported by the Data Transfer 1107 module is accessed. In one embodiment of the present invention, the CDataTransfer 1405 class includes four public methods through which all of the functionality of the Data Transfer 1107 module may be accessed. These methods include a setDestination() method, a startSend() method, a dataSend() method, and an endSend() method. The setDestination() method is used to configure both a source and destination address for an e-mail from a remote monitoring workstation 911 to a central monitoring workstation 945. The startSend() method is used to initiate communications between the remote monitoring workstation 911 and a SMTP server 915. The dataSend() method is used to send the monitoring information as an e-mail message from the remote monitoring workstation 911 to the central monitoring workstation 945 via the SMTP server 915. The dataSend() method supports the sending of either configuration information or status information. The endSend() method is used to shut down the communication link after the configuration or status information has been sent. While the Data Transfer 1107 module includes significantly more capabilities, the complexities of these capabilities are hidden from the public interface.

[0085] Returning to Figure 19C, the CSendManager 1903 class includes classes that implement encrypting, encoding, and the management of a communication link between the remote monitoring workstation 911 and the SMTP server 915. CAbsEncrypter 1905 is an abstract class providing the flexibility to add new encryption methods by adding new derived classes of CAbsEncrypter 1905, such as, for example, CNullEncrypter 1907. This class structure provides the flexibility for an application to implement the desired level of encryption, or to change an encryption method without impacting the interface to the Data Transfer 1107 module.

[0086] The CBase64Encoder 1909 class provides base 64 encoding of the information before the information is sent. The CSmtp 1911 class is responsible for managing the communication link between the remote monitoring workstation 911 and the SMTP server 915. CSmtp 1911 makes use of the CSystemRegistry 1915 class for accessing the system registry to determine a source and destination e-mail address for the e-mail message header to be sent to the SMTP server 915. Furthermore, CSmtp 1911 makes use of the CSocket 1917 class available in the Microsoft foundation classes (MFC) for establishing and taking down the communication link between the remote monitoring workstation 911 and the SMTP server 915.

[0087] Figure 20A is a collaboration diagram illustrating the interaction among the classes of the Data Transfer 1107 module shown in Figure 19C when a remote monitoring workstation 911 initiates communication by establishing a link to the SMTP server 915. In Figure 20A, the user 2001 corresponds to either the Device Monitor 1103 module or the Device Information 1105 module. As shown in Figure 20A, the process is initiated by the user 2001 invoking the startSend() method of the CDataTransfer 1405 class. In calling the startSend() method, the user 2001 indicates which type of information (e.g., configuration information or status information) will be sent.

[0088] Figure 20B illustrates an exemplary MIME attachment including configuration information, as can be determined by the first line of the MIME attachment. Figure 20C, on the other hand, illustrates an exemplary MIME attachment including status information, as is also indicated by the first line of the MIME attachment. As described above, it is the startSend() method that ensures that the first line is appropriately populated. The exemplary MIME attachments shown in Figures 20B and 20C are neither encrypted nor encoded.

[0089] Returning to Figure 20A, once the user 2001 has requested the initiation of communications, the CDataTransfer 1405 class will call the startSend() method of the CSendManager 1903 class. The CSendManager 1903 class manages the establishment of a communication link between the remote monitoring workstation 911 and the SMTP server 915 through interactions with the CSmtp 1913 class, which, in turn, interacts with the CSocket 2013 class.

[0090] In order to use SMTP, the CSendManger 1903 class calls the createSocket() method of the CSmtp 1913 class to create a socket to the SMTP server 915 through which the SMTP commands will be sent. Next, the CSendManager 1903 class calls the connectSocket() method of the CSmtp 1913 class to connect to that socket of the SMTP server 915. In response, the CSmtp 1913 class will call the Connect() and Receive() methods of the CSocket 2013 class to connect to the socket.

[0091] Once the socket has been established and connected to, the CSendManager 1903 class calls the sendHeloConunand() method of the CSmtp 1913 class to send the HELO SMTP command to the SMTP server 915. In response the CSmtp 1913 class will call the Send() method of the CSocket 2013 class to send the command to the socket of the SMTP server 915, and subsequently call the Receive() method of the CSocket 2013 class to receive a response from the socket of the SMTP server 915. Using the same approach, the CSendManager 1903 class will send the MAIL, RCPT, and DATA SMTP commands to the SMTP server 915 by respectively calling the sendMailCommand(), sendRcptCommand(), and sendDataCommand() methods of the CSmtp 1913 class. In response to each of the calls, the

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CSmtp 1913 class will call the Send() and Receive() methods of the CSocket 2013 class to send the commands to, and receive a response from, the socket of the SMTP server 915, respectively.

[0092] As would be understood by those of ordinary skill in the SMTP art, the HELO SMTP command is used by a client, for example, the remote monitoring workstation 911, to identify itself to the SMTP server 915, the MAIL SMTP command is used to identify the originator of a mail message, the RCPT SMTP command is used to identify the recipient for a mail message, and the DATA SMTP command is used to send the contents of a mail message.

[0093] Next, the CSendManager 1903 class calls the sendMailHeader() method of the CSmtp 1913 class to send the mail header for the e-mail message. The CSmtp 1913 class then calls the Send() method of the CSocket 2013 class to send the header to the socket of the SMTP server 915. At this point, the information to be included in the e-mail message can be sent through the socket of the SMTP server 915. The data corresponding to the appropriate information type of the monitored devices is sent by the CDataTransfer 1405 class calling the sendData() method of the CSendManager 1903 class.

[0094] Figure 21 is a collaboration diagram illustrating the interaction among-the classes of the Data Transfer 1107 module shown in Figure 19C to send either status or configuration data through e-mail in response to the Device Monitor 1103 module or the Device Information 1105 module, respectively. In Figure 21, the user 2001 corresponds to either the Device Monitor 1103 module or the Device Information 1105 module. As shown in Figure 21, the process is initiated by the user 2001 calling the dataSend() method of the CDataTransfer 1405 class. The user 2001 sends the map containing the configuration or status information as a parameter of the dataSend() method. The dataSend() method provides a single interface, through which both the Device Monitor 1103 module and the Device Information 1105 module provide information to be sent to the Data Transfer 1107 module. In response, the CDataTransfer 1405 class calls the sendData() method of the CSendManager 1903 class to send the information to the SMTP server 915. In one embodiment of the present invention, each call to the sendData() method of CSendManager 1903 class sends one key/data value pair stored in the map to the socket (steps 8 and 9 shown in Figure 21 are illustrative of this approach). Prior to sending the data, however, the CSendManager 1903 class calls the encryptData() method of the CNullEncrypter1907 class (or, as described above, another class derived from the CAbsEncrypter 1905 abstract class) to encrypt the data to be sent.

[0095] Next, the CSendManager 1903 class calls the encodeData() and getEncodedString() methods of the CBase64Encoder 1911 class to encode the encrypted data. To send the encrypted and encoded data, the CSendManager 1903 class calls the sendData() method of the CSmtp 1913 class, which, in turn, calls the Send() method of the CSocket 2013 class.

[0096] Figure 22 is a collaboration diagram illustrating the interaction among the classes of the Data Transfer 1107 module shown in Figure 19C when the sending of the configuration or status information through e-mail has been completed.. In Figure 22, the user 2001 corresponds to either the Device Monitor 1103 module or the Device Information 1105 module. As shown in Figure 22, the process is initiated by the user 2001 calling the endSend() method of the CDataTransfer 1405 class. In response, the CDataTransfer 1405 class calls the sendData() method of the CSendManager 1903 class to send data indicating the end of the data to be sent. While it is not shown in Figure 22, the data sent will be encrypted and encoded following the same approach as that described above in the context of Figure 21. Next, the CDataTransfer 1405 class calls the endSend() method of the CSendManager 1903 class to complete the sending. The CSendManager 1903 class completes the sending of data by first calling the endOfData() and getEncodedString () methods of the CBase64Encoder 1911 class to obtain the last encoded information to be sent. Next, the CSendManager 1903 class calls the sendData() method of the CSmtp 1913 class to send the last encoded encoded string containing data. To send the last encoded string, the CSmtp 1913 class calls the Send() method of the CSocket 2013 class.

[0097] Next, the CSendManager 1903 class calls the sendEndOfMail() method of the CSmtp 1913 class to send the end of the mail data. In turn, the CSmtp 1913 class calls the Send() method of the CSocket 2013 class to send the end of the mail data through the socket of the SMTP server 915 followed by a call to the Receive() method of the CSocket 2013 class to obtain a response from the socket. Next, the CSendManager 1903 class calls the sendQuitCommand() method of the CSmtp 1913 class to send the QUIT SMTP command to the socket of the SMTP server 915 to terminate the e-mail session between the remote monitoring workstation 911 and the SMTP server 915. In response, the CSmtp 1913 class calls the Send() and Receive() methods of the CSocket 2013 class to send the QUIT command and obtain a response from the socket.

[0098] Figure 23 is a collaboration diagram illustrating the interaction among the classes of the Data Transfer 1107 module shown in Figure 19C to set up the system registry of the remote monitoring workstation 911 for sending device configuration and status information through e-mail to the central monitoring workstation 945. As shown in Figure 23, the process is initiated by a call to the setDestination() method of the CDataTransfer 1405 class by the Interface 1101. In response, the CDataTransfer 1405 class calls the setDestination() method of the CSendManager 1403 class, which, in turn, calls the setDestination() method of the CSmtp 1913 class. To store the information in the system registry, the CSmtp 1913 class calls the setSMTPServer(), setFromAddr(), and setRcptAdd() methods of the CSystemRegistry

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1915 class to store the SMTP Server, the from address, and the recipient address to be used in sending configuration or status information to the central monitoring workstation 945, respectively, in the system registry of the remote monitoring workstation 911.

[0099] Figure 24 is a class diagram illustrating one embodiment of the ODBC Interface 1109 module of Figure 11 according to the present invention. The ODBC Interface 1109 module is responsible for interfacing with the database 913 that maintains the information pertaining to the SNMP devices being monitored by a particular remote monitoring workstation 911. In this embodiment, the database is registered as an ODBC database, and, therefore, the database 913 has available the appropriate supporting ODBC drivers. The ODBC Interface 1109 module includes five classes: CSendODBCInterface 2401, CDeviceInformationData 2403, CDeviceDatabase 2407, CDevicePersistentStatus 2411, and CDevicePerDatabase 2413. The CSendODBCInterface 2401 class provides the interface through which the functionality supported by the ODBC Interface 1109 module is accessed.

[0100] The CDevicernformationData 2403 class provides methods for obtaining and storing configuration information of the monitored devices in the database 913. The CDeviceDatabase 2407 class provides an interface between the CDeviceInformationData 2403 class and the actual database 913 that contains the configuration information. The CDeviceInformationData 2403 class uses the DeviceInfo structure to store the configuration information in the database 913.

[0101] The CDevicePersistentStatus 2411 class provides methods for obtaining and storing the first type of information of the monitored devices in the database. The CDevicePerDatabase 2407 provides an interface between the CDevicePersistentStatus 2411 class and the actual database that contains the first type of information. The CDevicePersistentStatus 2411 class uses the DevicePerStatus structure to store the first type of information in the database 913.

[0102] Both the CDeviceDatabase 2407 class and the CDevicePerDatabase 2413 class are derived from the CRecordset 2417 class available in the Microsoft Foundation Classes (MFC).

[0103] Obviously, numerous modifications and variations of the present invention are possible in light of the above teachings. It is therefore to be understood that within the scope of the appended claims, the invention may be practiced otherwise than as specifically described herein.

Claims

1. A method for transferring monitoring information from a remote monitor to a central monitor, comprising the steps of:

   creating a communication link by the remote monitor between the remote monitor and a message transfer server;
   formatting the monitoring information into a standard format;
   sending the monitoring information in the standard format as an attachment to a message from the remote monitor to the message transfer server via the communication link using a transfer protocol;
   sending the message from the message transfer server to the central monitor over a network using the transfer protocol; and
   closing the communication link by the remote monitor, wherein
   the monitoring information includes at least one of configuration information and status information corresponding to at least one networked device monitored by the remote monitor.

2. The method of Claim 1, further comprising the steps of:

   storing a source address corresponding to the remote monitor in a first memory of the remote monitor;
   storing a destination address corresponding to the central monitor in a second memory of the remote monitor; and
   querying the first memory for the source address by the remote monitor;
   querying the second memory for the destination address by the remote monitor;
   creating a message header including the source address and the destination address by the remote monitor, wherein
   the message includes the message header.

3. The method of Claim 2, wherein at least one of the first memory and the second memory comprises a system registry of the remote monitor.

4. The method of Claim 1, wherein the standard format does not change with a type of monitoring information being

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formatted.

5. The method of Claim 1, wherein the at least one networked device comprises at least one of a printer, a facsimile device, a copier, a scanner, an appliance, a video cassette recorder, a digital camera, a cellular phone, and a personal data assistant.

6. The method of Claim 1, further comprising the steps of:

gathering the monitoring information by the remote monitor from the at least one network device; and
storing the monitoring information gathered in the gathering step by the remote monitor in a digital repository coupled to the remote monitor.

7. The method of Claim 6, wherein the gathering step comprises gathering the monitoring information using a simple network management protocol.

8. The method of Claim 1, wherein the transfer protocol comprises a store-and-forward protocol.

9. The method of Claim 1, wherein the transfer protocol comprises a simple mail transfer protocol.

10. The method of Claim 1, wherein the transfer protocol comprises a direct connection protocol.

11. The method of Claim 10, wherein the direct connection protocol comprises at least one of a file transfer protocol and a hyper text transfer protocol.

12. The method of Claim 1, wherein:

the message comprises an Internet e-mail message, and
the attachment comprises a multipurpose Internet mail extensions attachment to the Internet e-mail message.

13. The method of Claim 1, wherein the configuration information comprises at least one of an Internet protocol address and a media access control address of the at least one networked device.

14. The method of Claim 1, wherein the status information comprises at least one of an alarm and an operational status of the at least one networked device.

15. The method of Claim 1, further comprising the step of:

encrypting the monitoring information by the remote monitor prior to the sending the monitoring information step.

16. The method of Claim 15, further comprising the step of:

encoding the monitoring information by the remote monitor after the encrypting step and prior to the sending the monitoring information step.

17. The method of Claim 16, wherein the encoding step comprises encoding the monitoring information using a base 64 encoding.

18. The method of Claim 1, further comprising the step of:

encoding the monitoring information by the remote monitor prior to the sending the monitoring information step.

19. A computer-implemented system for transferring monitoring information from a remote monitor to a central monitor, comprising:

a processor; and
a computer readable medium encoded with processor readable instructions that when executed by the processor implement

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a communication link mechanism configured to create a communication link between the remote monitor and a message transfer server and to close the communication link after monitoring information has been sent by the remote monitor to the message transfer server, the monitoring information including at least one of configuration information and status information corresponding to at least one network device monitored by the remote monitor,

a monitoring information formatting mechanism configured to format the monitoring information into a standard format, and

a sending mechanism configured to send the monitoring information to the message transfer server as an attachment to a message via the communication link using a transfer protocol.

20. The system of Claim 19, wherein the computer readable medium is further encoded with processor readable instructions that when executed by the processor further implement

an encrypting mechanism configured to encrypt the monitoring information prior to sending the monitoring information to the message transfer server.

21. The system of Claim 20, wherein the computer readable medium is further encoded with processor readable instructions that when executed by the processor further implement

an encoding mechanism configured to encode the monitoring information after the encrypting mechanism encrypts the monitoring information and prior to sending the monitoring information to the message transfer server.

22. The system of Claim 21, wherein the encoding mechanism is further configured to encode the monitoring information using a base 64 encoding.

23. The system of Claim 19, wherein the computer readable medium is further encoded with processor readable instructions that when executed by the processor further implement

an encoding mechanism configured to encode the monitoring information prior to sending the monitoring information to the message transfer server.

24. The system of Claim 19, wherein the computer readable medium is further encoded with processor readable instructions that when executed by the processor further implement

a message address mechanism configured to

store a source address corresponding to the remote monitor in a first memory of the remote monitor, and

store a destination address corresponding to the central monitor in a second memory of the remote monitor; and

a message header manipulation mechanism configured to

query the first memory for the source address.

query the second memory for the destination address, and

create a header including the source address and the destination address,

wherein

the message includes the header.

25. The system of Claim 24, wherein at least one of the first memory and the second memory comprise a system registry of the remote monitor.

26. The system of Claim 19, wherein the transfer protocol comprises a store-and-forward protocol.

27. The system of Claim 19, wherein the transfer protocol comprises a simple mail transfer protocol.

28. The system of Claim 19, wherein:

the message comprises an Internet e-mail message, and

the attachment comprises a multipurpose Internet mail extensions attachment to the Internet e-mail message.

29. The system of Claim 19, wherein the standard format does not change with a type of monitoring information being formatted.

30. The system of Claim 19, wherein the at least one network device comprises at least one of a printer, a facsimile device, a copier, a scanner, an appliance, a video cassette recorder, a digital camera, a cellular phone, and a

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personal data assistant.

31. The system of Claim 19, wherein the computer readable medium is further encoded with processor readable instructions that when executed by the processor further implement

an database management mechanism configured to store the monitoring information in a digital repository coupled to the remote monitor and retrieve the monitoring information from the digital repository.

32. The system of Claim 19, wherein the transfer protocol comprises a direct connection protocol.

33. The system of Claim 19, wherein the transfer protocol comprises at least one of a file transfer protocol and a hyper text transfer protocol.

34. The system of Claim 19, wherein the configuration information comprises at least one of an Internet protocol address and a media access control address of the at least one network device.

35. The system of Claim 19, wherein the status information comprises at least one of an alarm and an operational status of the at least one network device.

36. A computer program product, comprising:

a computer storage medium; and

a computer program code mechanism embedded in the computer storage medium for causing a computer to transfer monitoring information of at least one network device from a remote monitor to a central monitor, the computer program code mechanism having

a first computer code device configured to create a communication link between the remote monitor and a message transfer server and to close the communication link after monitoring information has been sent by the remote monitor to the message transfer server, the monitoring information including at least one of configuration information and status information corresponding to at least one network device monitored by the remote monitor,

a second computer code device configured to format the monitoring information into a standard format, and

a third computer code device configured to send the monitoring information to the message transfer server as an attachment to a message via the communication link using a transfer protocol.

37. The computer program product of Claim 36, wherein the computer program code mechanism further having

a fourth computer code device configured to encrypt the monitoring information prior to sending the monitoring information to the message transfer server.

38. The computer program product of Claim 37, wherein the computer program code mechanism further having

a fifth computer code device configured to encode the monitoring information after the fourth computer code device encrypts the monitoring information and prior to sending the monitoring information to the message transfer server.

39. The computer program product of Claim 38, wherein the fifth computer code device is further configured to encode the monitoring information using a base 64 encoding.

40. The computer program product of Claim 36, wherein the computer program code mechanism further having

a fourth computer code device configured to encode the monitoring information prior to sending the monitoring information to the message transfer server.

41. The computer program product of Claim 36, wherein the computer program code mechanism further having

a fourth computer code device configured to

store a source address corresponding to the remote monitor in a first memory of the remote monitor, and

store a destination address corresponding to the central monitor in a second memory of the remote monitor; and

a fifth computer code device configured to

query the first memory for the source address,

query the second memory for the destination address, and

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create a header including the source address and the destination address,

wherein

the message includes the header.

42. The computer program product of Claim 41, wherein at least one of the first memory and the second memory comprise a system registry of the remote monitor.

43. The computer program product of Claim 36, wherein the transfer protocol comprises a store-and-forward protocol.

44. The computer program product of Claim 36, wherein the transfer protocol comprises a simple mail transfer protocol.

45. The computer program product of Claim 36, wherein:

the message comprises an Internet e-mail message, and

the attachment comprises a multipurpose Internet mail extensions attachment to the Internet e-mail message.

46. The computer program product of Claim 36, wherein the standard format does not change with a type of monitoring information being formatted.

47. The computer program product of Claim 36, wherein the at least one network device comprises at least one of a printer, a facsimile device, a copier, a scanner, an appliance, a video cassette recorder, a digital camera, a cellular phone, and a personal data assistant.

48. The computer program product of Claim 36, wherein the computer program code mechanism further having

a fourth computer code device configured to store the monitoring information in a digital repository coupled to the remote monitor and retrieve the monitoring information from the digital repository.

49. The computer program product of Claim 36, wherein the transfer protocol comprises a direct connection protocol.

50. The computer program product of Claim 36, wherein the transfer protocol comprises at least one of a file transfer protocol and a hyper text transfer protocol.

51. The computer program product of Claim 36, wherein the configuration information comprises at least one of an Internet protocol address and a media access control address of the at least one network device.

52. The computer program product of Claim 36, wherein the status information comprises at least one of an alarm and an operational status of the at least one network device.

53. The computer program product of Claim 37, wherein a new encryption technique may be added by modifying the fourth computer code device without modifying the first computer code device, the second computer code device, the third computer code device, or an application that interfaces with the computer program product.

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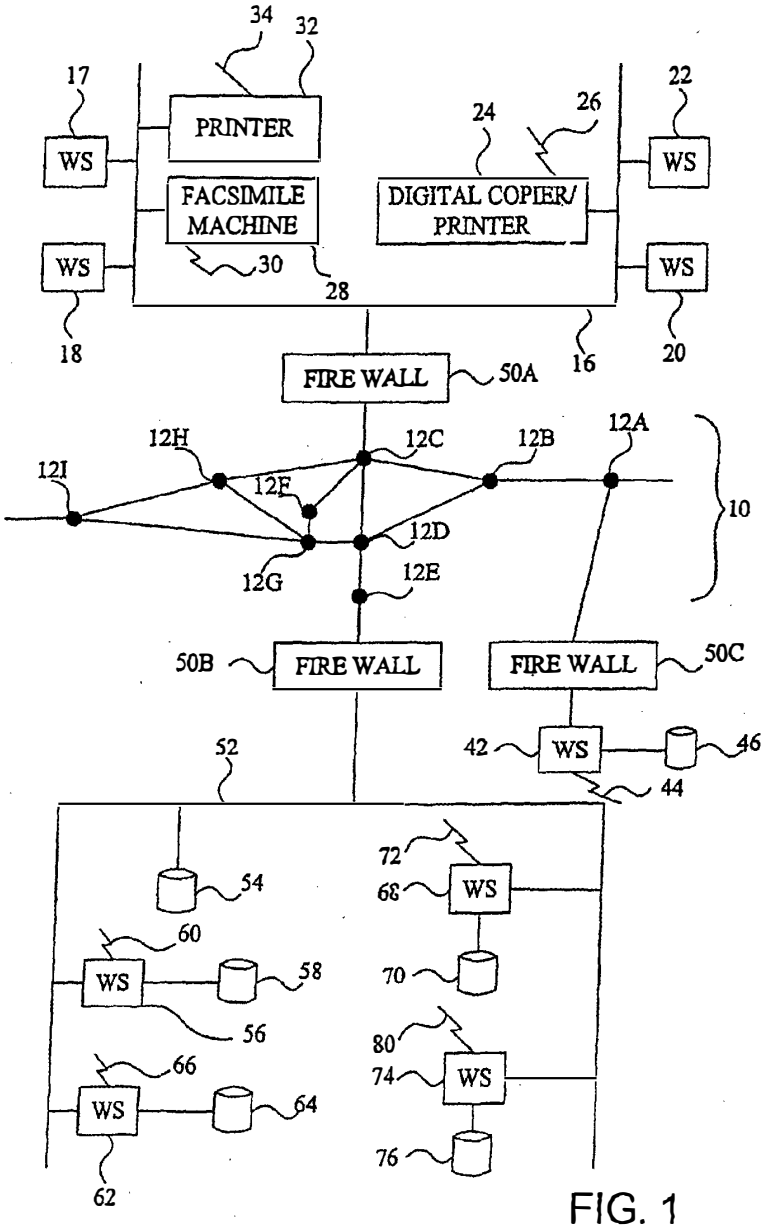


FIG. 1

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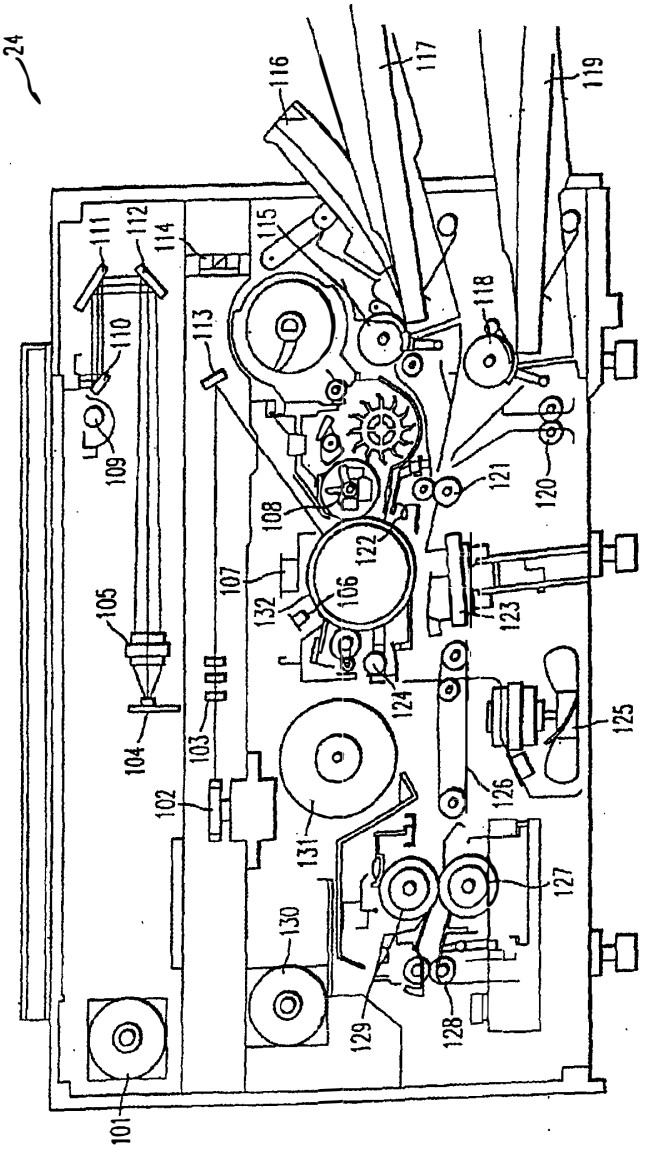


FIG. 2

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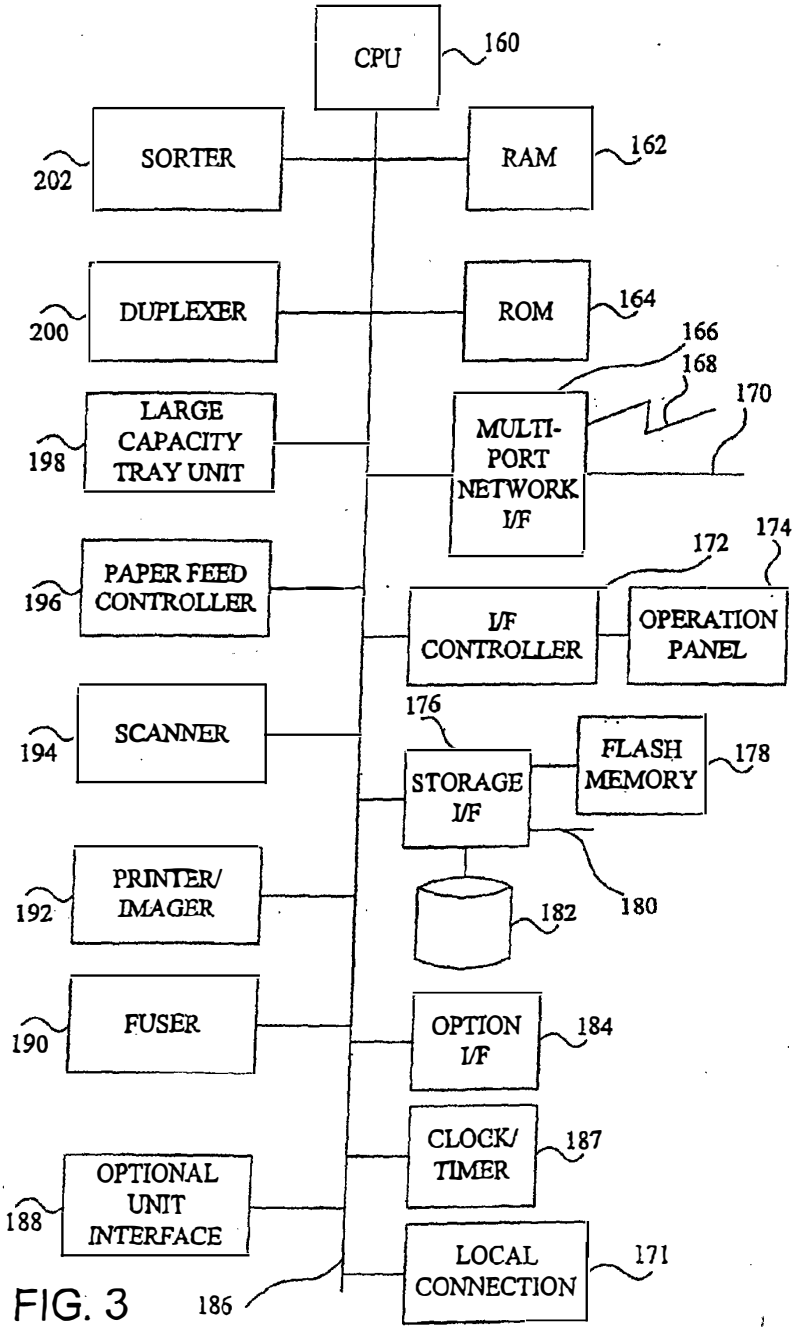


FIG. 3

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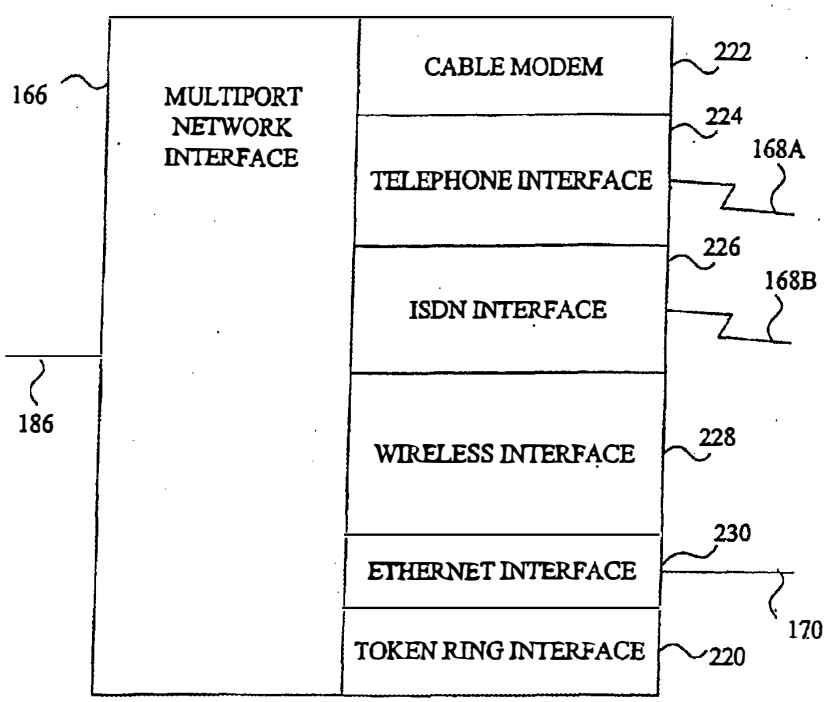


FIG. 4

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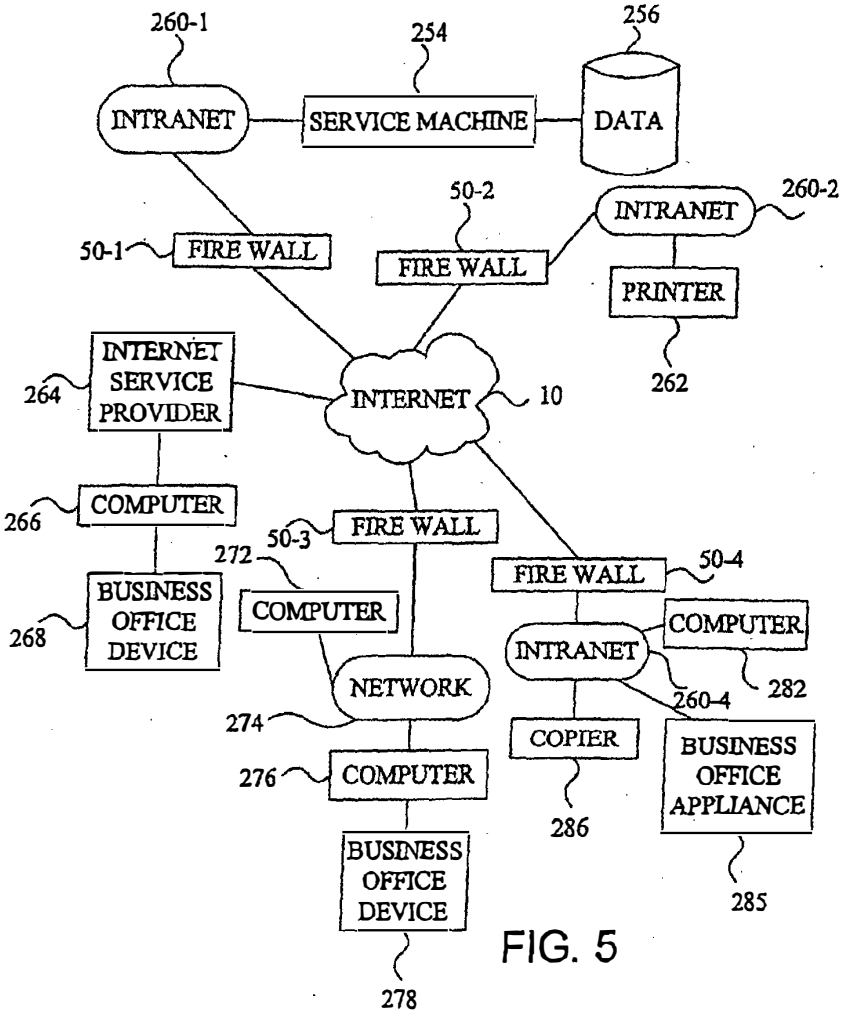


FIG. 5

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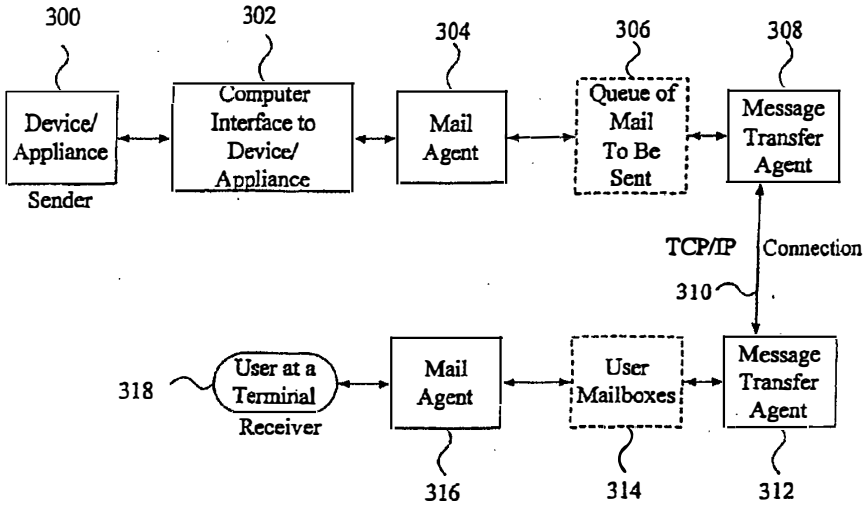


FIG. 6A

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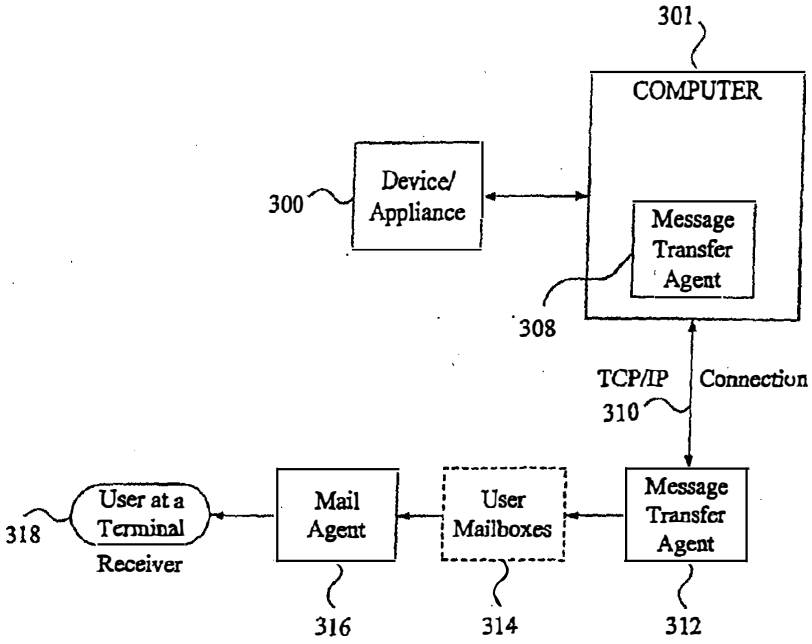


FIG. 6B

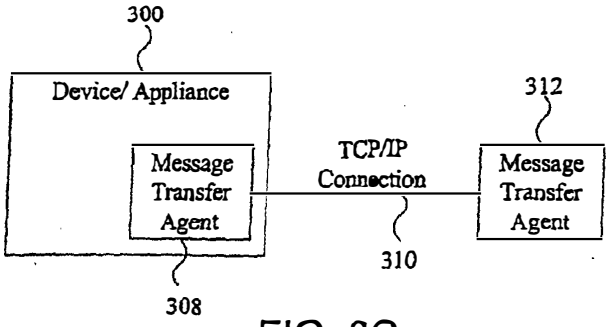


FIG. 6C

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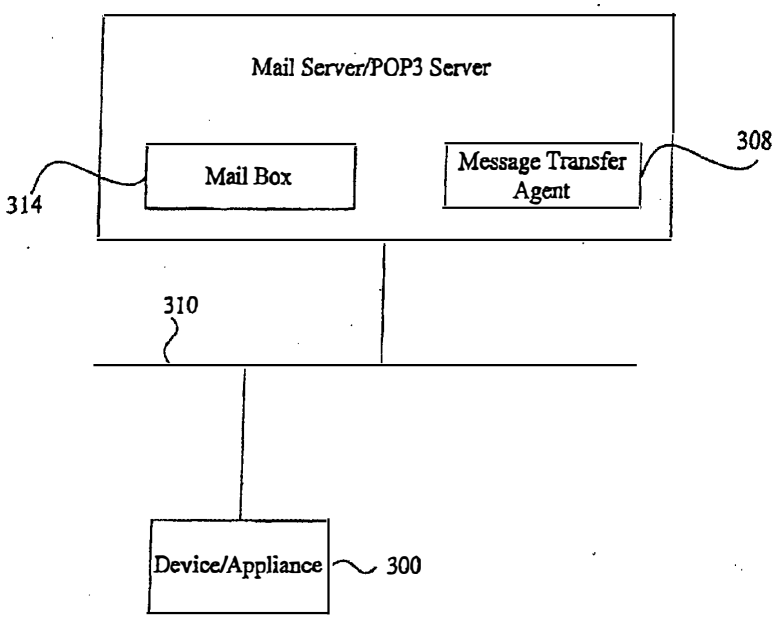


Fig. 6D

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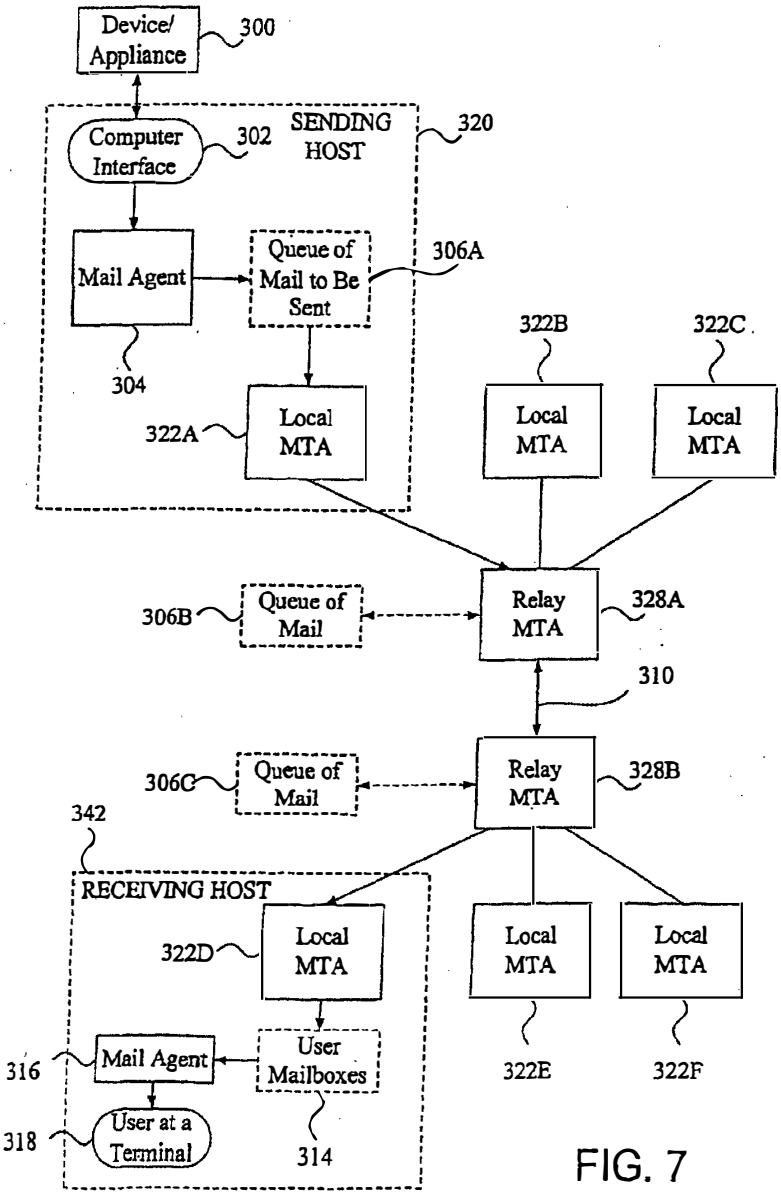


FIG. 7

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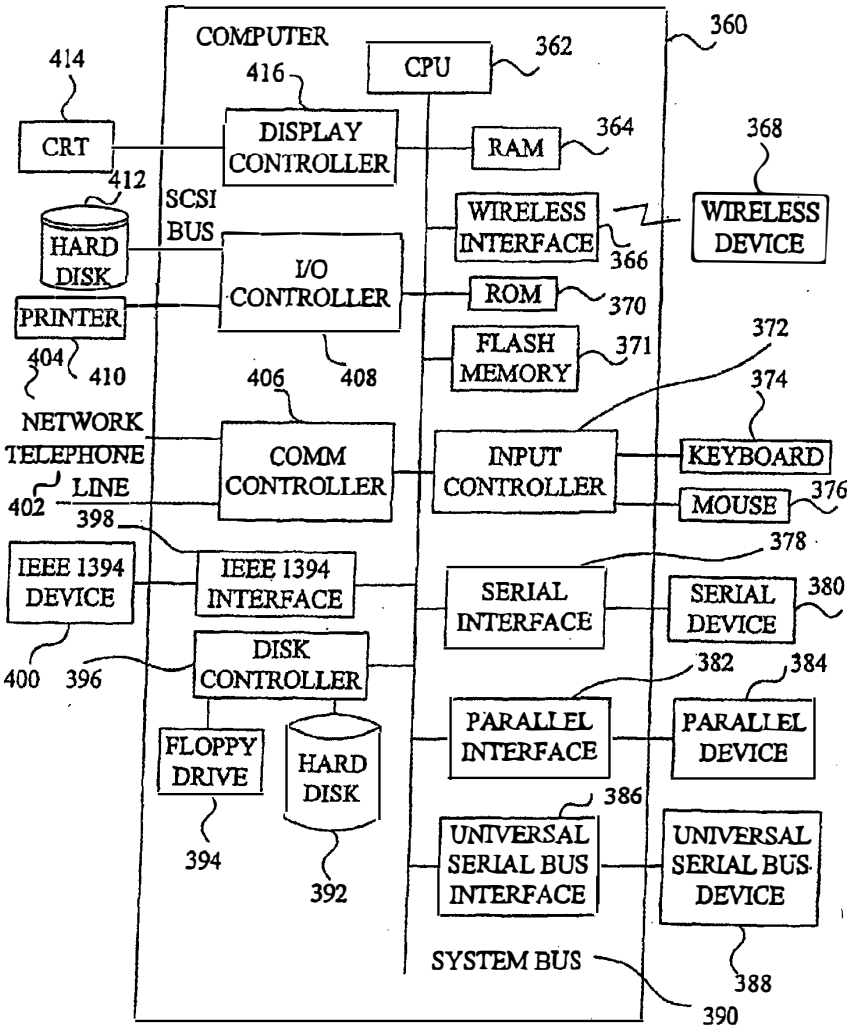


FIG. 8

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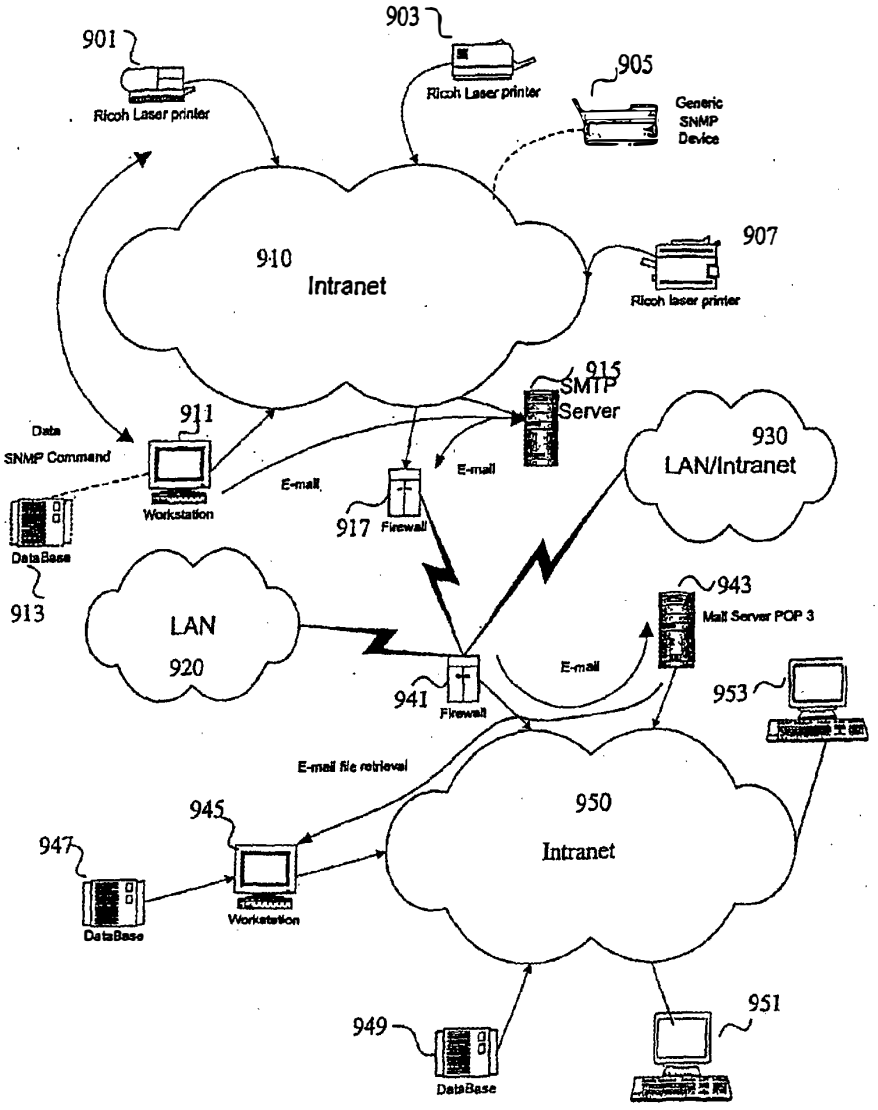


Figure 9

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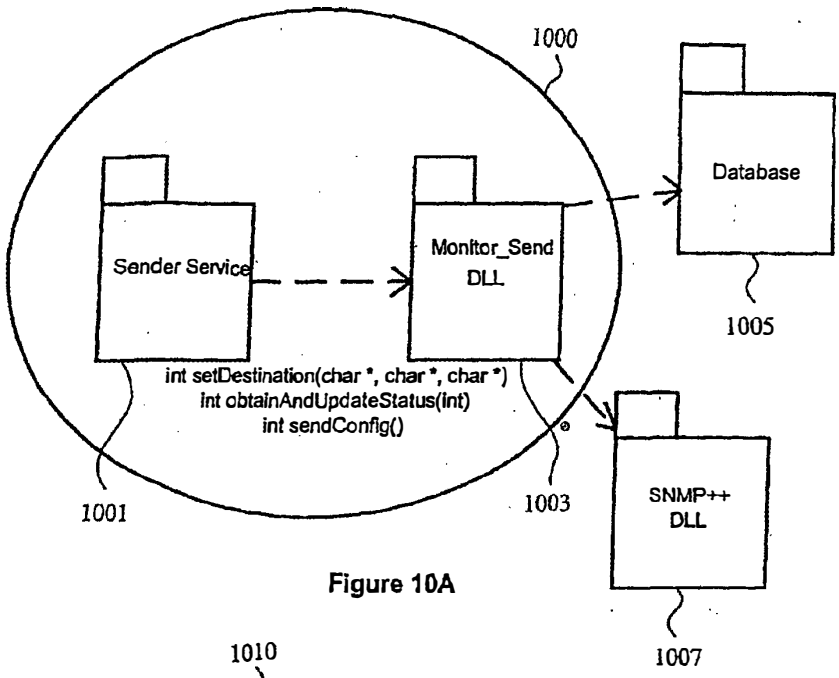


Figure 10A

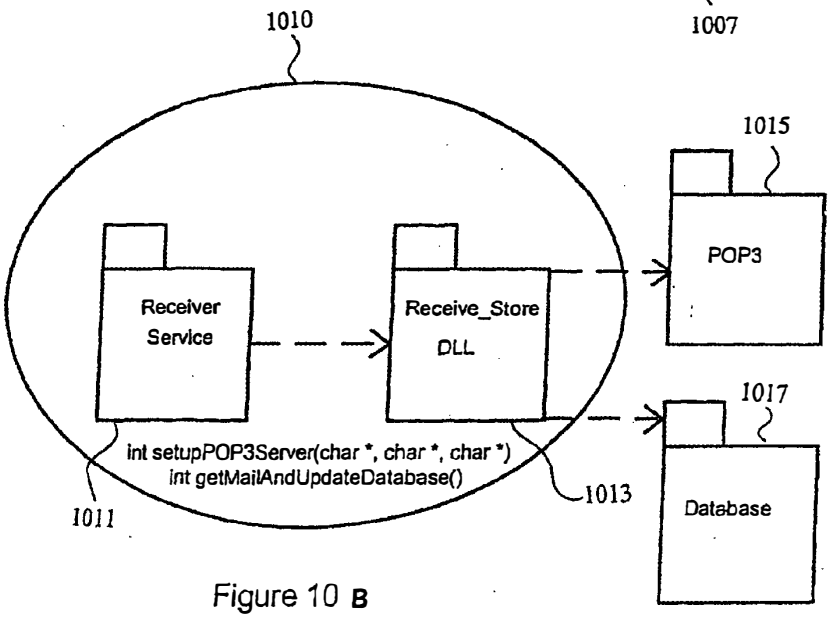


Figure 10 B

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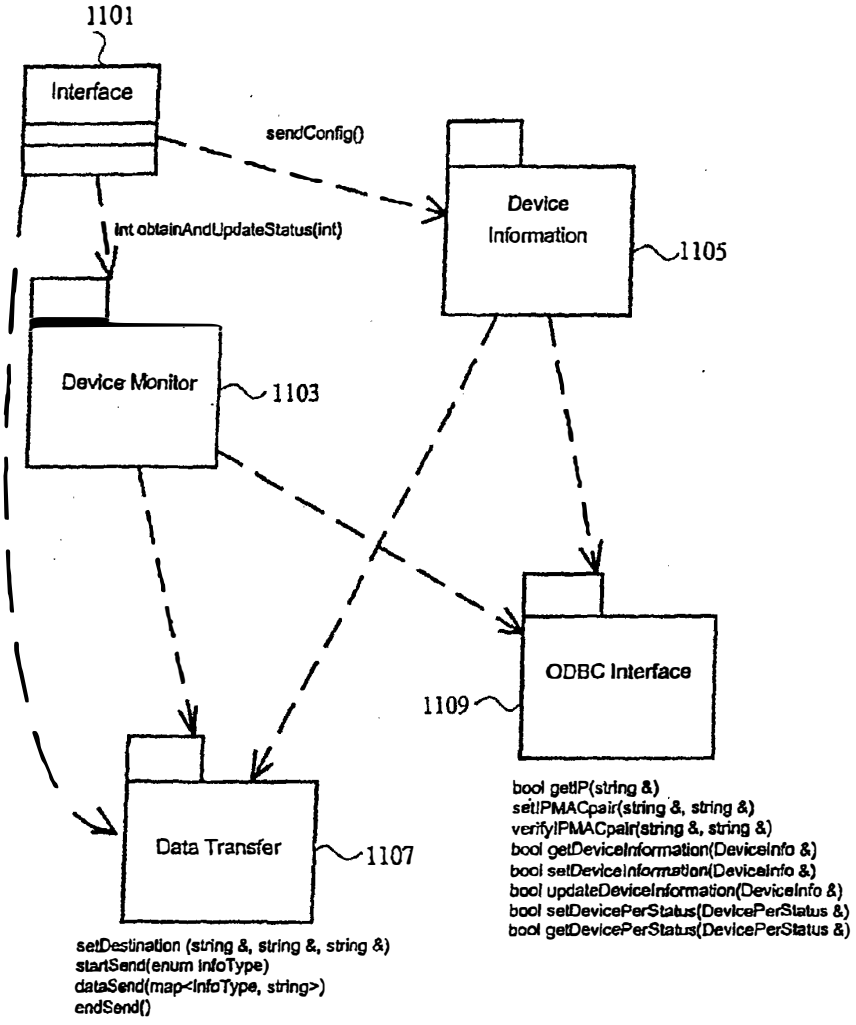


Figure 11

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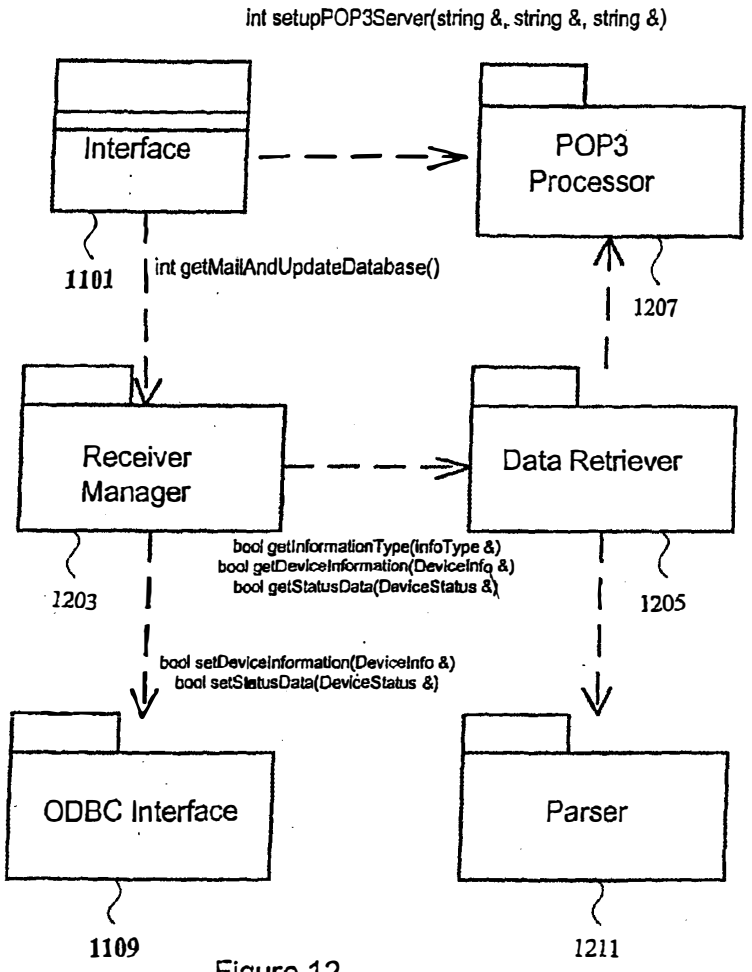
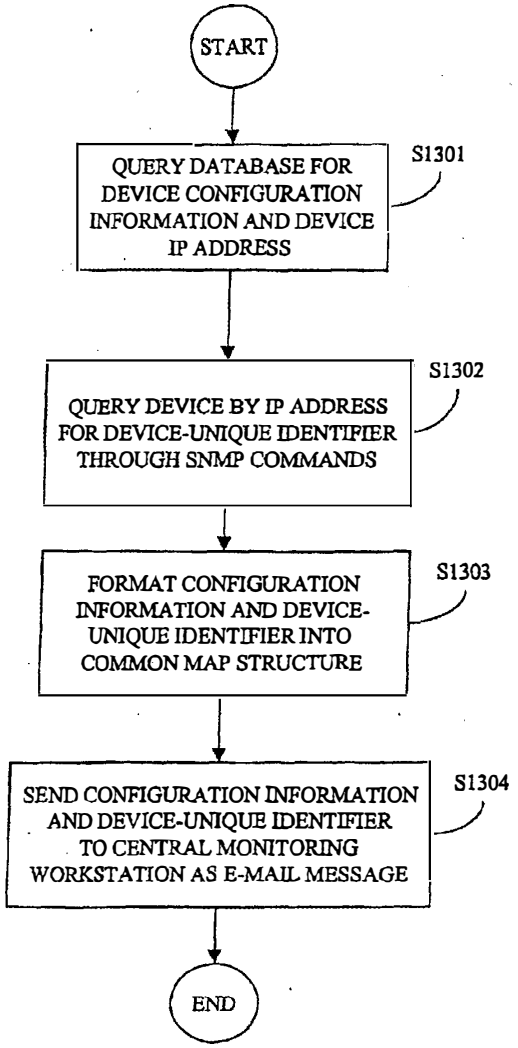


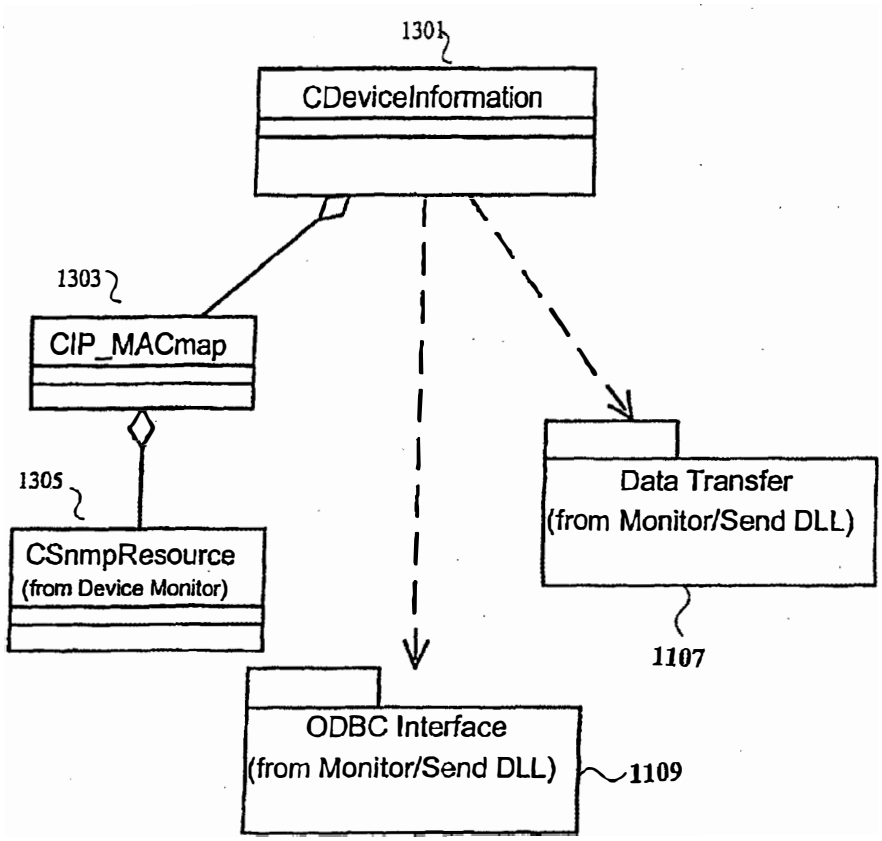
Figure 12

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FIGURE 13A



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Device Information package

Figure 13B

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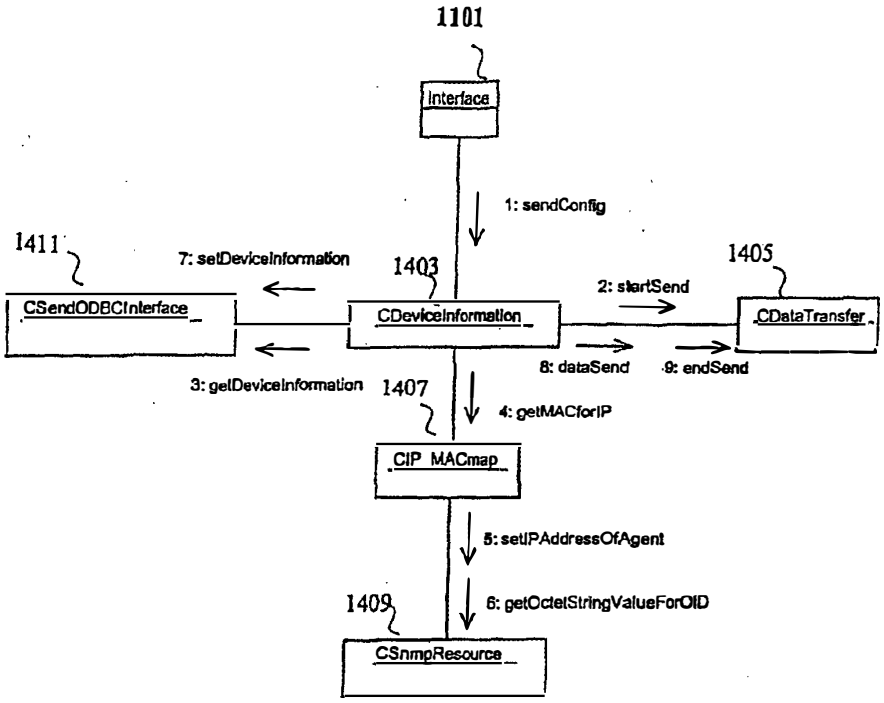
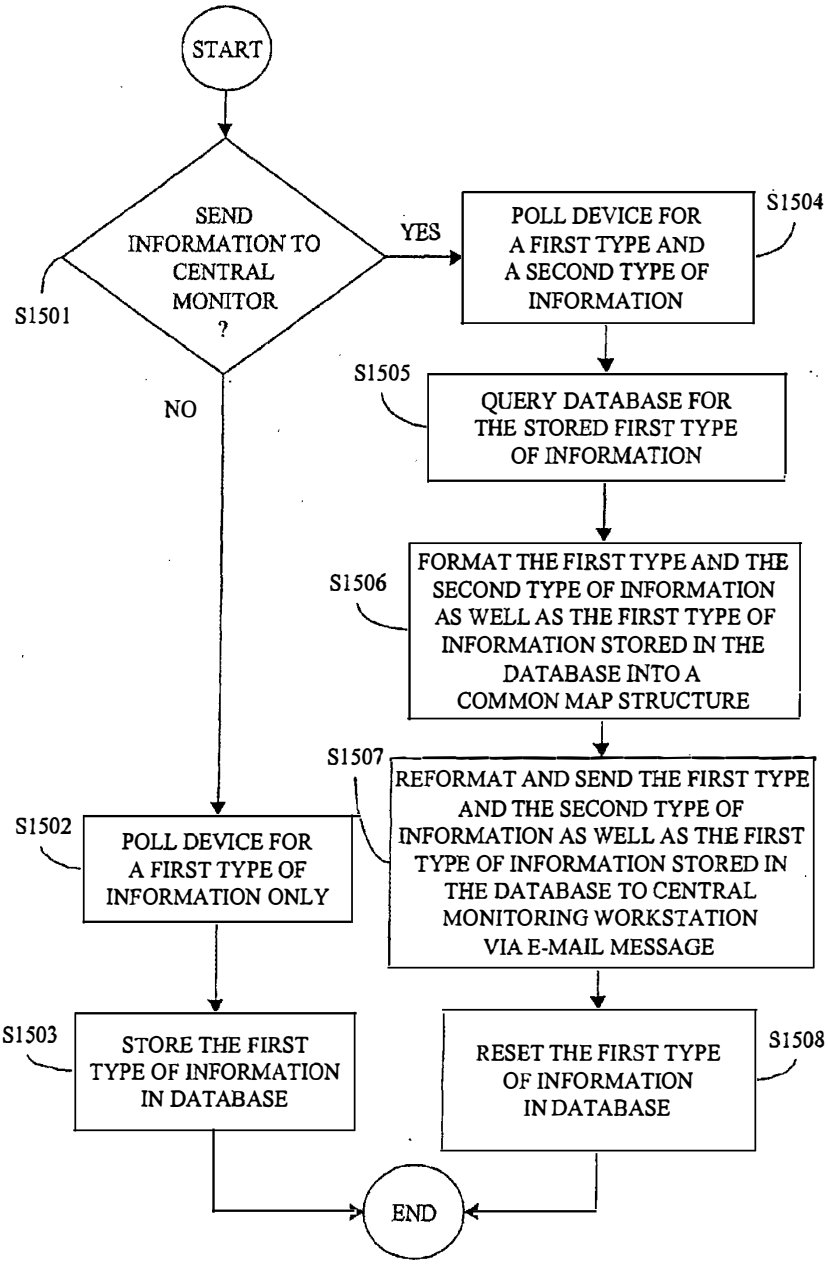


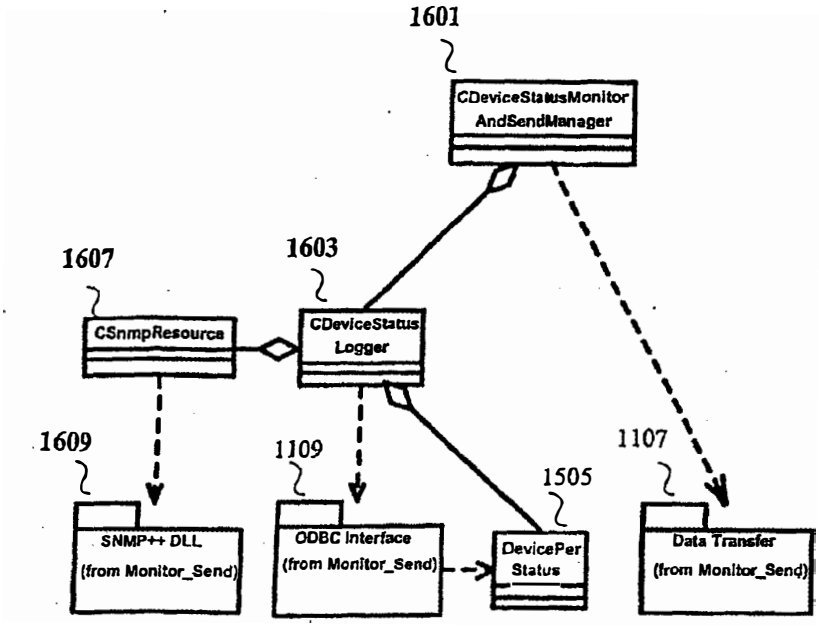
Figure 14

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FIGURE 15A



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Device Monitor Package Class Structure

Figure 15 B

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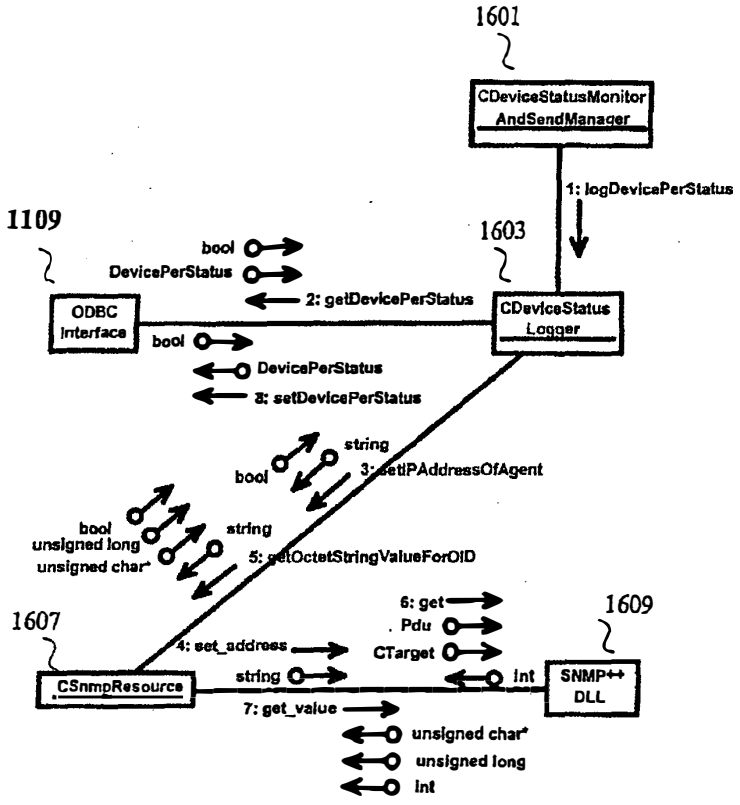


Figure 16

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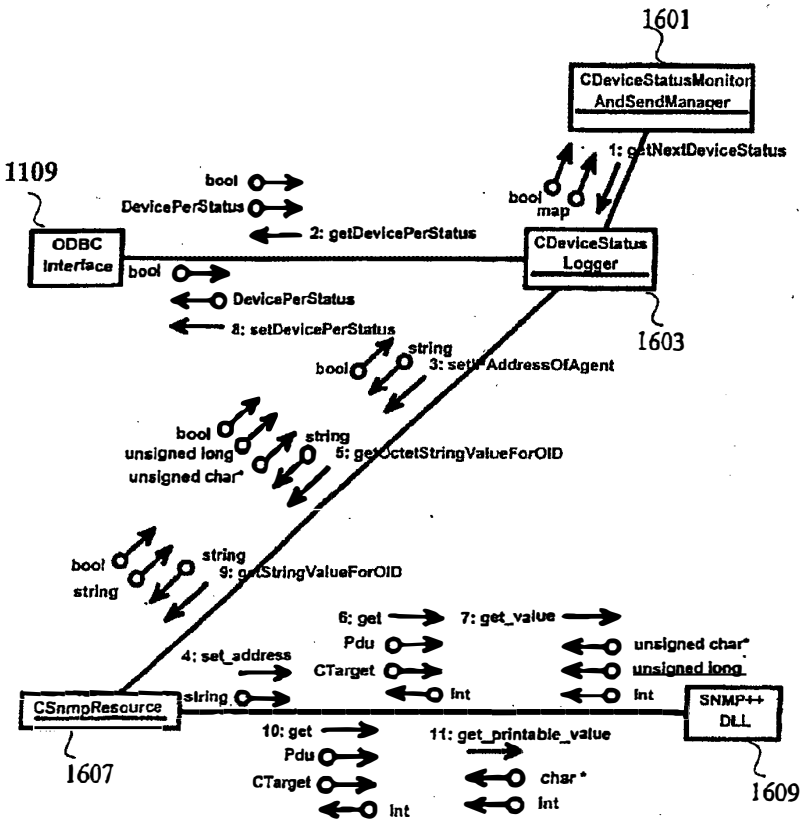


Figure 17

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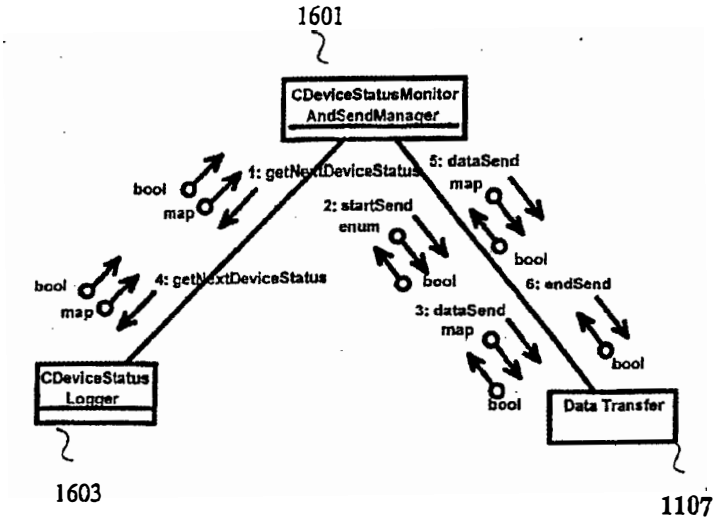
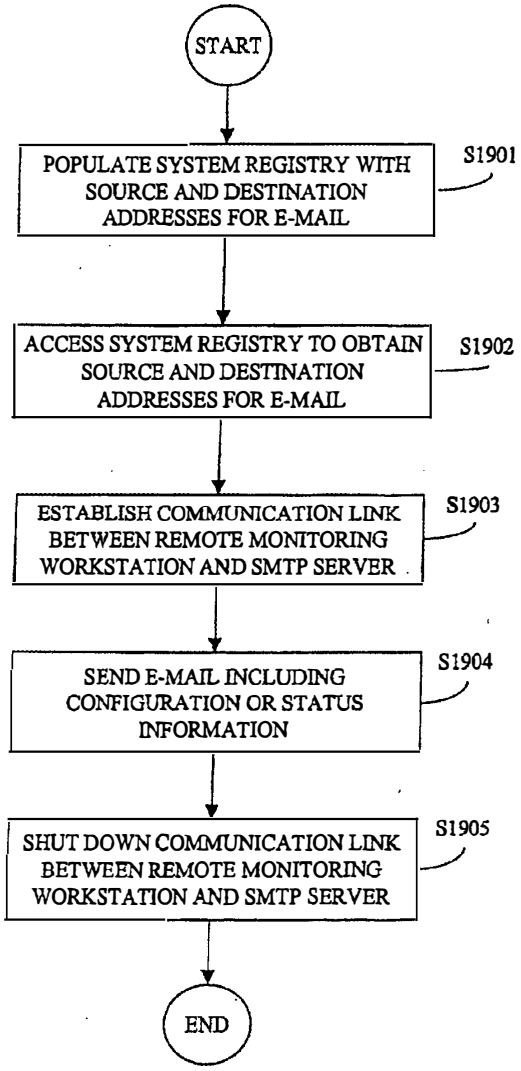


Figure 18

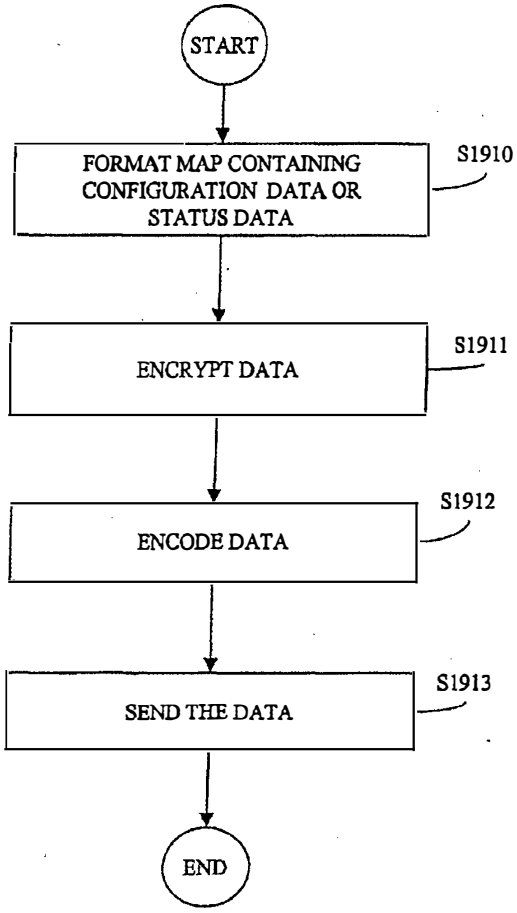
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FIGURE 19A

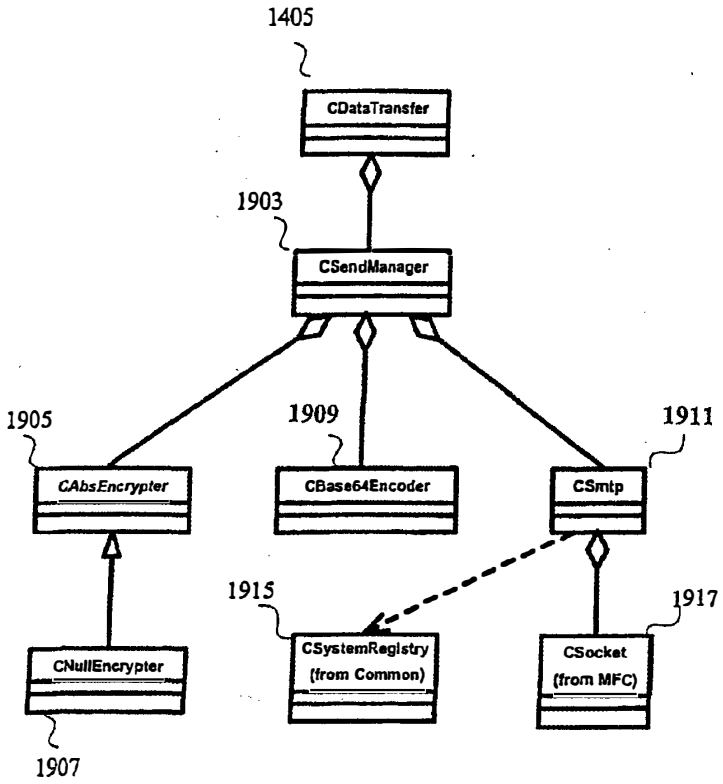


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FIGURE 19B



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Data Transfer Package

Figure 19C

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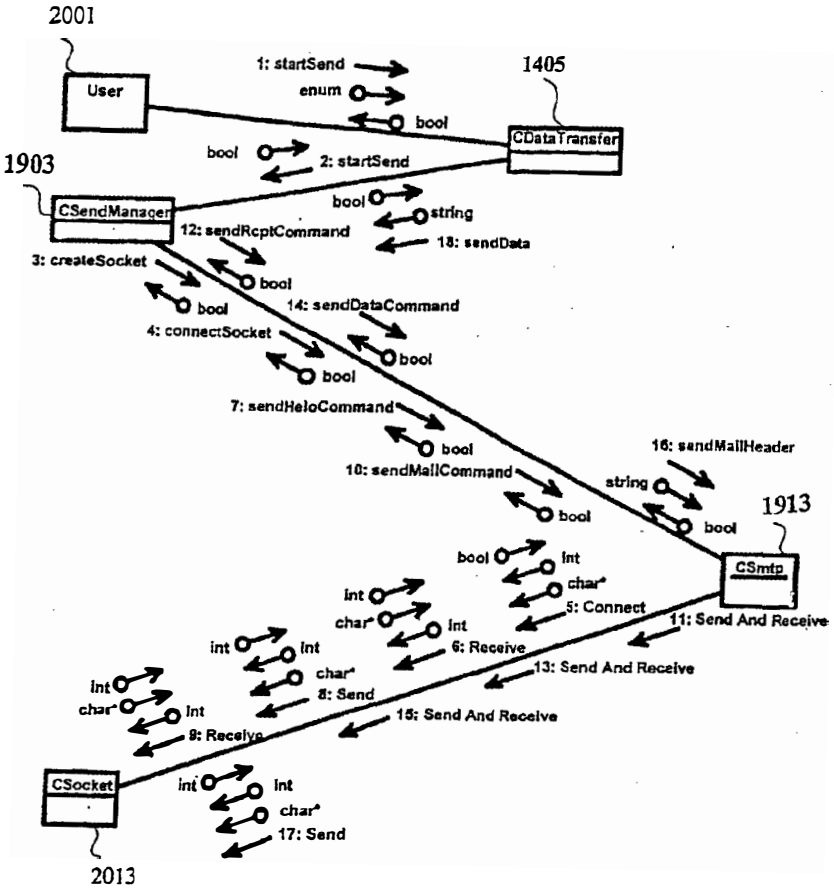


Figure 20 A

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```
DataType, DeviceInformation
&&&&&
uniqueID, 00 00 aa 5e 1d fc
dateTime, 2000:08:14:14:57:15
Manufacturer, Xerox
Model, DocuPrint N4025 Network Laser Printer
...
PhoneNumber, 408-954-5445
&&&&&
uniqueID, 08 00 11 0f a5 33
dateTime, 2000:08:14:14:57:15
Manufacturer, Tektronix Inc
Model, Phaser 750P
...
PhoneNumber, 408-954-5429
#####
```

Figure 20B

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```
DataType, StatusInformation
&&&&&&
uniqueID, 00 00 aa 5e 1d fc
dateTime, 2000:08:14:14:57:15
errorCount, 0
lowPaper, 0
noPaper, 0
lowToner, 0
noToner, 0
doorOpen, 0
jammed, 0
offline, 0
serviceRequested, 0
configChangeCount, 14
pageLifeCount, 1025
&&&&&&
uniqueID, 08 00 11 0f a5 33
dateTime, 2000:08:14:14:57:15
errorCount, 0
lowPaper, 0
noPaper, 0
lowToner, 0
noToner, 0
doorOpen, 0
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serviceRequested,
configChangeCount, 1
paperLifeCount, 202
######
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Figure 20C

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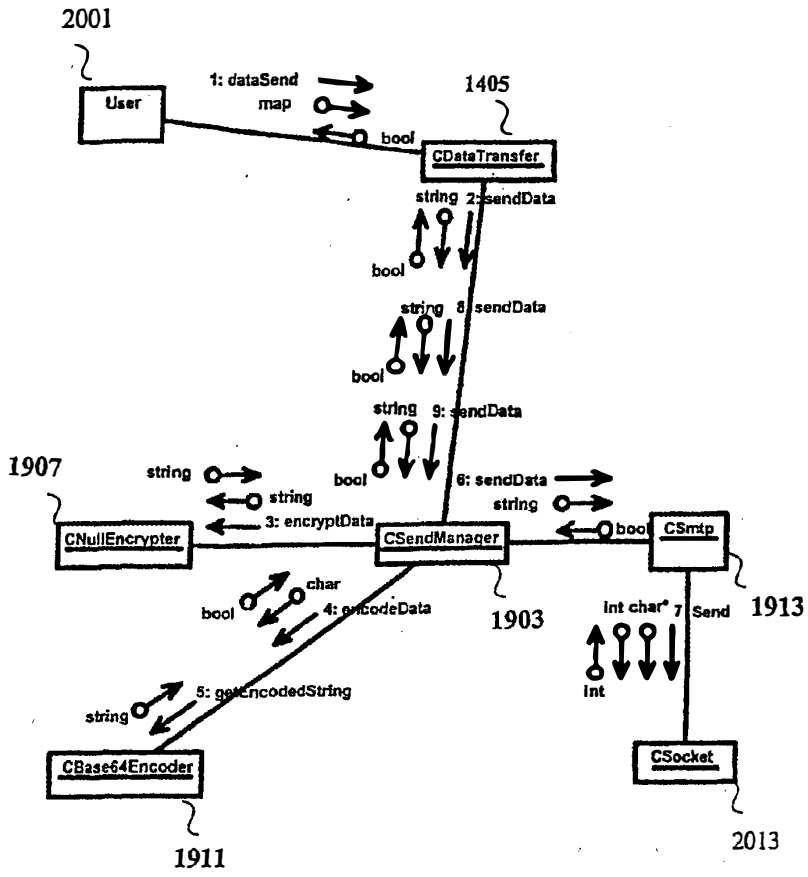


Figure 21

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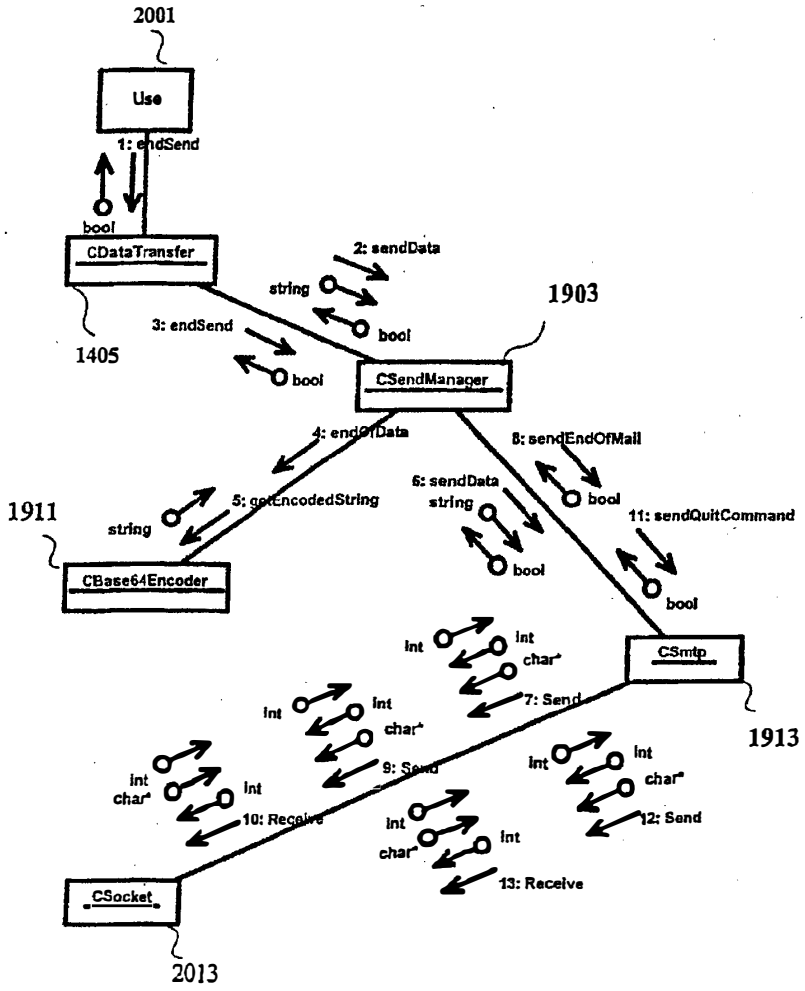


Figure 22

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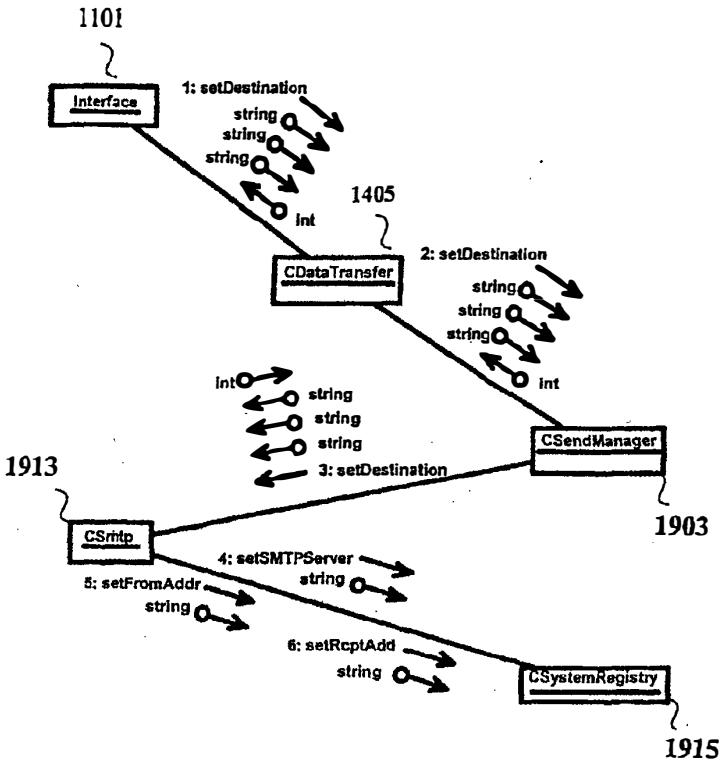


Figure 23

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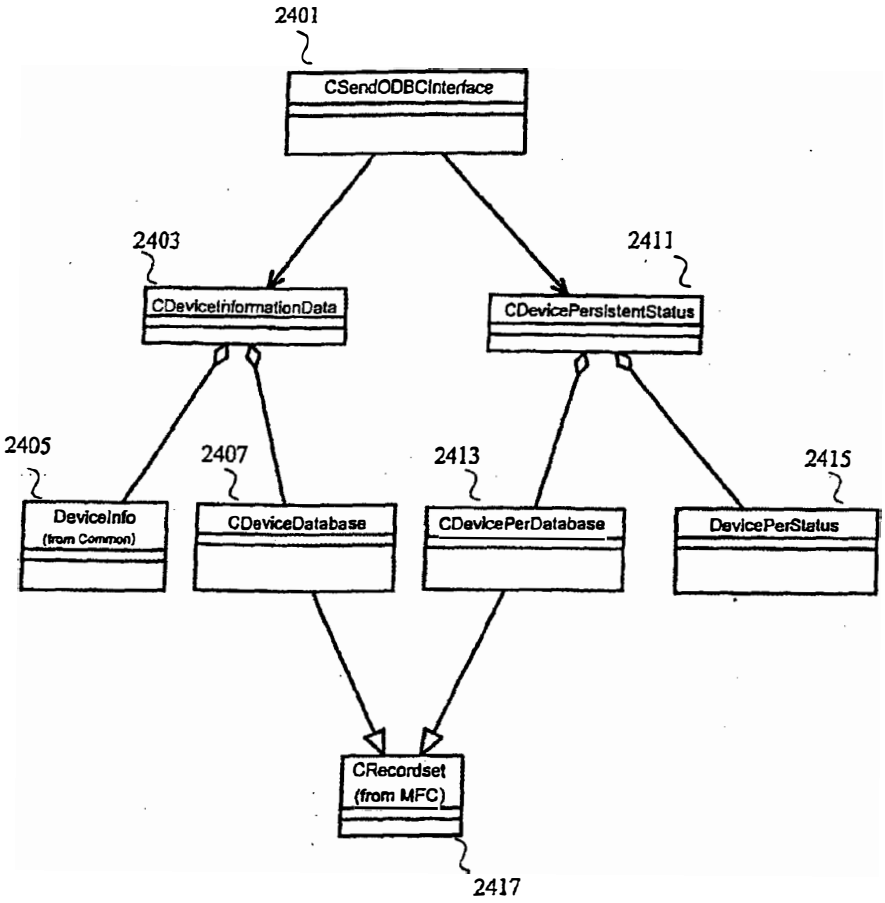


Figure 24

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European Patent Office

EUROPEAN SEARCH REPORT

Application Number
EP 02 02 0472

DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (Int.Cl.7)
X	EP 1 003 307 A (RICOH KK) 24 May 2000 (2000-05-24) * paragraphs [0005]-[0010] * * paragraphs [0012]-[0018] * * paragraphs [0028]-[0047] * * paragraphs [0055]-[0063] * * figures 1,5-12,16-20 *	1-15,19, 20, 24-37, 41-53	H04L12/26 H04L12/58 G06F11/34 G06F17/60
Y		16-18, 21-23, 38-40	

X	EP 1 083 486 A (RICOH KK) 14 March 2001 (2001-03-14) * paragraphs [0007]-[0010] * * paragraphs [0012]-[0018] * * paragraphs [0028]-[0045] * * paragraphs [0052],[0053] * * paragraphs [0073]-[0078] * * figures 1,5-9,12A,17 *	1-11, 13-15, 19,20, 24-27, 29-37, 41-44, 46-53	
Y		16-18, 21-23, 38-40	

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TECHNICAL FIELDS SEARCHED (Int.Cl.7)

H04L
G06F

The present search report has been drawn up for all claims

Place of search	Date of completion of the search	Examiner
MUNICH	11 December 2002	Bengi-Akyuerek, K

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EUROPEAN SEARCH REPORT

Application Number
EP 02 02 0472

DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (Int.Cl.7)
A	US 5 715 393 A (NAUGLE RAYMOND H) 3 February 1998 (1998-02-03) * abstract * * claims 1,7 * * figure 2 *	6,13-18, 20-23, 31,34, 35, 37-40, 48,51,52	
A	WO 92 22033 A (BELL COMMUNICATIONS RES) 10 December 1992 (1992-12-10) * abstract * * page 10-15 * * figures 1,2 *	5,6,13, 14,30, 31,34, 35,47, 48,51,52	
A	WO 00 23894 A (PLAUM REINER ;SIEMENS AG (DE); TALANIS THOMAS (DE); BLUMENSTOCK WE) 27 April 2000 (2000-04-27) * abstract * * page 4, line 5 - page 6, line 28 * * claims 1-6 * * figures 1-3 *	15-18, 20-23, 37-40	TECHNICAL FIELDS SEARCHED (Int.Cl.7)

The present search report has been drawn up for all claims

Place of search	Date of completion of the search	Examiner
MUNICH	11 December 2002	Bengi-Akyuerek, K

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For more details about this annex : see Official Journal of the European Patent Office, No. 12/82

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Bibliographic data: JP2002366525 (A) — 2002-12-20

SECURITY POLICY MAINTENANCE SYSTEM

Inventor(s): KOSHIDA TOSHIO ± (KOSHIDA TOSHIO)

Applicant(s): NEEDS CREATOR KK ± (NEEDS CREATOR KK)

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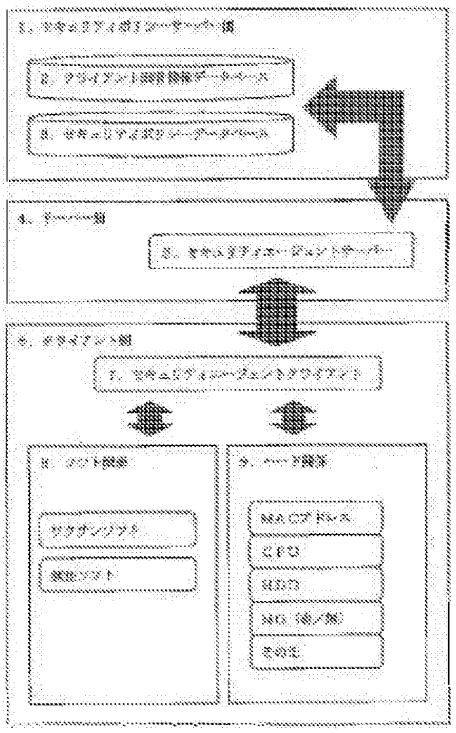
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Abstract of JP2002366525 (A)

PROBLEM TO BE SOLVED: To newly develop a system for maintaining the security policy of a network. SOLUTION: When a client 6 logs in a network, resource information of the client is acquired by a security agent client 7, transmitted to a security agent server 5, an information data base 2 intrinsic to the client is compared with a security policy data base 3 in a security policy server 1 and permission or nonpermission of network log in by the client 6 is determined. In addition, the security agent client 7 always monitors an operating state of the client 6, transmits it to the security agent server 5 and when breach of the security policy is caused, disconnects network connection by the client 6.

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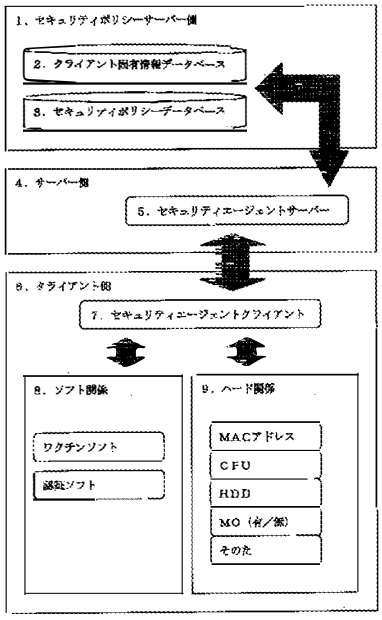
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(71)出願人　501082336
ニーズクリエイター株式会社
福岡県福岡市中央区高砂１丁目21番11号
(72)発明者　越田　敏巨
福岡県福岡市中央区高砂１丁目21－11　ニーズクリエイター株式会社内

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(54)【発明の名称】　セキュリティポリシー維持システム

(57)【要約】
【課題】ネットワークのセキュリティポリシーを維持するシステムが無かった
【解決手段】６のクライアントがネットワークにログインする際に、７のセキュリティエージェントクライアントにて、クライアントのリソース情報を取得し、５のセキュリティエージェントサーバーに送信され、１のセキュリティポリシーサーバー内の、２のクライアント固有情報データベースと３のセキュリティポリシーデータベースと比較し、６のクライアントのネットワークログイン許可または不許可を判断する。また、７のセキュリティエージェントクライアントは、常時６のクライアントの動作状況を監視、５のセキュリティエージェントサーバーに送信し、セキュリティポリシー違反が発生した場合、６のクライアントのネットワーク接続を切断する・



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【特許請求の範囲】
【請求項１】　ネットワークに参加するクライアントのセキュリティレベルにより、サーバー側よりクライアントのネットワーク参加を許可および拒否する手段と、前記のセキュリティレベル情報を取得し、クライアントとサーバー間でのセキュリティレベルの確認手段と、を備えたことを特徴とする、セキュリティポリシー維持管理装置やアプリケーションとそれを記録する媒体
【請求項２】　クライアントがネットワークに参加し、処理を継続している間も、クライアントのセキュリティレベル情報を監視し、セキュリティレベルがネットワーク参加可能レベルより低くなった場合やセキュリティレベル情報の取得が出来なくなった場合にネットワーク資源の利用を制限する手段とを備えたことを特徴とする、メール管理装置やアプリケーションとそれを記録する媒体
【請求項３】ネットワーク管理者が許可した正規クライアントと無許可のクライアントの判断手段とを備えたことを特徴とする、セキュリティポリシー維持管理装置やアプリケーションとそれを記録する媒体
【発明の詳細な説明】
【●●●１】
【発明の属する技術分野】本発明は、コンピュータネットワークの利用においてネットワークに参加するクライアントセキュリティレベルにより、ネットワークセキュリティレベル管理制御装置やアプリケーションとそれを記録する媒体に関するものである。
【０００２】
【従来の技術】従来は、コンピュータネットワークを構築し運用していく場合は、事前に運用マニュアル等を作成し、その中でセキュリティ維持の為の項目を設定し、利用者のモラルの向上を行い、セキュリティレベルを維持していた。
【●●●３】また、ネットワーク参加者の区別は、ネットワークログインＩＤとパスワードのみチェックで参加を許可していた為、プライベートパソコンや取り決めたセキュリティレベルを維持していないクライアントも、簡単にネットワークに参加していた。
【０００４】また、ネットワーク管理者が知らないセキュリティレベルの低いクライアントが数多くネットワークに参加する事で、ネットワークのセキュリティレベルが低下し、ウィルスへの感染や情報の漏洩などの重大な問題が発生する場合があった。
【●●●５】
【発明が解決しようとする課題】本発明は、前記の課題を解決する為に、クライアントのセキュリティレベル情報取得と取得したセキュリティレベルによりネットワークへの参加を拒否および制限を行うことが出来る様にしたもので、以下の装置および方法を特徴とする。
【０００６】本発明の目的は、ネットワーク管理者が定めたセキュリティレベルの基準に至らないクライアントのネットワーク参加を制限する管理方法を提供することにある。
【●●●７】
【課題を解決する為の手段】サーバーとクライアントにセキュリティチェックエージェントを常駐させ、クライアントの電源を入れ、起動した時点からセキュリティエージェントが起動する。そのセキュリティエージェントは、クライアント上にネットワーク管理者が設定した、常時正常動作が必要なアプリケーションの稼動状況とバージョン情報の取得を行う。また、その他の稼動中アプリケーション情報の取得を行い、取得した情報をログイン処理と共にサーバーに伝送する。
【０００８】サーバー側は、伝送されたクライアントセキュリティ情報および、クライアントのＭＡＣアドレスやＣＰＵおよびＨＤＤサイズ等の固有データをセキュリティポリシー設定データベースの内容と比較し、ネットワーク参加の可否を判断する。
【●●●９】ネットワーク参加が許可された場合は、ネットワーク資源を利用する事が出来る様になるが、不許可の場合は、ネットワークログインを拒否する。
【００１０】また、前記のセキュリティエージェントが稼動していないクライアントからネットワークサーバーにログイン処理が行われた場合は、サーバー側に常駐しているセキュリティエージェントにより、ネットワークログイン処理を強制的に中断し、ネットワーク参加を拒否する。
【●●１１】
【発明の実施の形態】ネットワーク利用者は、自己の管理している６のクライアントを起動し、起動後ＩＤとパスワードを入力して、ネットワークにログインする。
【●●１２】前記のクライアントが、正規許可のクライアント場合は、７のセキュリティエージェントクライアントにより、８のソフト稼動状況や９のハードリソース情報が取得され、ログイン処理と共に７のセキュリティエージェントクライアントから５のセキュリティエージェントサーバーに送られ、６のセキュリティエージェントサーバーは、１のセキュリティポリシーサーバー上の、２のクライアント固有情報データベースと３のセキュリティポリシーデータベース情報を元に、ログインの可否を判断する。
【００１３】セキュリティレベルが基準に達していれば、５のセキュリティエージェントサーバーは、７のセキュリティエージェントクライアントに対し、ログインを許可する。
【●●１４】しかし、セキュリティレベルが基準以下の場合、５のセキュリティエージェントサーバーは、７のセキュリティエージェントクライアントに対し、ログインを拒否し、ログインの拒否理由を７のセキュリティエージェントクライアントに送信する。７のセキュリティ

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エージェントクライアントは、受信した拒否理由を表示しする。利用者は指示に従って対処し、再度ログイン処理を行う。

【００１５】また、個人所有の正規許可のクライアントで無い場合は、７のセキュリティエージェントクライアントが稼動していなか、または稼動していてもＭＡＣアドレスやＣＰＵおよびＨＤＤサイズとうのクライアント固有の情報が、２のクライアント固有情報データベースに登録が無い為、５のセキュリティエージェントサーバーにより、ネットワーク参加が拒否される。

【００１６】また、７のセキュリティエージェントクライアントは、ネットワークに接続中に、６のクライアントのソフトやハードのリソースに変化を検知し、５のセキュリティエージェントサーバーに通知する、５のセキュリティエージェントサーバーは、通知内容がセキュリティポリシーデータベースと比較し、セキュリティポリシーに違反があれば、６のクライアントをネットワークより強制的に切断する。

【００１７】また、５のセキュリティエージェントサーバーは、常時７のセキュリティエージェントクライアントの動作を監視し、７のセキュリティエージェントクライアントからの信号が途絶えた場合、６のクライアントのセキュリティレベルに異常が発生したと判断し、ネットワークより強制的に切断する。

【００１８】

【発明の効果】本発明のセキュリティポリシー維持システムを利用する事で、セキュリティポリシーに違反するクライアントの接続を防止し、ネットワークのセキュリティレベルを維持できる。また、各クライアントのリソース状況をデータベースに記録し管理することで、悪意を持ってＭＯやＲＡＳ環境増設を行っても、ネットワークから自動的に切り離される為、機密情報や個人情報の漏洩やウィルスの侵入を防止することができる。

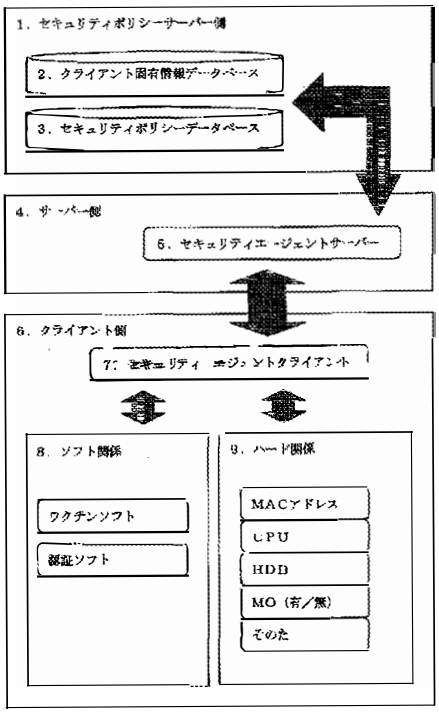
【図面の簡単な説明】

【図１】本発明の基本処理の流れを説明した図である

【符号の説明】

１ … セキュリティポリシーサーバー
２ … クライアント固有情報データベース
３ … セキュリティポリシーデータベース
４ … サーバー
５ … セキュリティエージェントサーバー
６ … クライアント
７ … セキュリティエージェントクライアント
８ … ソフト関係
９ … ハード関係

【図１】



【手続補正書】
【提出日】平成13年7月23日(2001.7.23)
【手続補正1】
【補正対象書類名】明細書
【補正対象項目名】請求項2
【補正方法】変更
【補正内容】
【請求項2】　クライアントがネットワークに参加し、処理を継続している間も、クライアントのセキュリティレベル情報を監視し、セキュリティレベルがネットワーク参加可能レベルより低くなった場合やセキュリティレベル情報の取得が出来なくなった場合にネットワーク資源の利用を制限する手段とを備えたことを特徴とする、セキュリティポリシー維持管理装置やアプリケーションとそれを記録する媒体
【手続補正2】
【補正対象書類名】明細書
【補正対象項目名】発明の属する技術分野
【補正方法】変更
【補正内容】
【発明の属する技術分野】本発明は、コンピュータネットワークの利用においてネットワークに参加するクライアントセキュリティレベルにより、ネットワーク参加を制限する装置やアプリケーションとそれを記録する媒体に関するものである。

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(71) Applicant *(for all designated States except US)*: **CAMELOT INFORMATION TECHNOLOGIES LTD.** [IL/IL]; Matam, Advanced Technology Center, 31905 Haifa (IL).

(72) Inventors; and
(75) Inventors/Applicants *(for US only)*: **GADISH, Ofer** [IL/IL]; 8, Shikma Street, 34737 Haifa (IL). **BAHARAV, Yuval** [IL/IL]; 40, Massada Street, 33076 Haifa (IL).

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(54) Title: AN ADAPTIVE SYSTEM AND ARCHITECTURE FOR ACCESS CONTROL

(57) Abstract: A network security system and method for protecting network resources from unauthorized access and/or use. An agent device gathers data in regard to all access attempts directed at network resources and supplies this information to an analyzer device that adapts permission levels to correspond with at least the newly supplied information. The permission levels may be used by a guardian agent for the purpose of allowing or denying access to system resources. Such enforcement may further be conducted with respect to each resource access attempt in accordance with a network security policy. A control unit maintains the security policy and generates reports based on data provided from both the agent device and the analyzer device.

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AN ADAPTIVE SYSTEM AND ARCHITECTURE FOR ACCESS CONTROL

CROSS REFERENCE TO RELATED APPLICATIONS

[001] This application claims priority to U.S. Provisional Application 60/226,128, filed August 18, 2000 and U.S. Provisional Application 60/259,575, filed January 04, 2001.

FIELD OF THE INVENTION

[002] The present invention relates generally to computer networks and, specifically, to access control with respect to computer networks.

BACKGROUND OF THE INVENTION

[003] Computer networks may consist of vast amounts of information and/or resources, such as files, documents, texts, databases, servers, printers, plotters, etc. (collectively "resources") shared among a large numbers of users. The resources may have a varied degree of sensitivity and may not necessarily be appropriate for use by all the users of the computer network or by users outside the network. This problem is especially pronounced in the business environment where there are global users and where business-to-business (B2B) communications are common.

[004] Thus, in order to protect resources from inappropriate use, each user in the network may be assigned access to only some, rather than all, resources on the network, effectively restricting access by each user to an appropriate subset of those resources. As a result, people with fewer access restrictions may have access to more of the network

resources, while others with more access restrictions may have access to only a limited number of resources. A member of a development group, for example, may be assigned access privileges to resources pertaining to a particular project on which he is working, while at the same time being restricted from access to other management resources. Each user is thus assigned "static" access privileges according to his perceived level or task. Access restrictions may similarly be assigned to the resources themselves. For example, a network printer may be made available to everyone on the network for printing, or it may be restricted to only those individuals who are granted special access.

[005] Typically, access permissions are controlled at the resource level. Thus, each resource would have a corresponding access control list (ACL) generated either during the creation of the resource or at a later date. An ACL usually comprises a list of access entries, each such access entry containing a user's name and his/her associated permissions/restrictions. In some instances, the access entry may comprise a user group (such as accounting, engineering, marketing, etc.) and the associated access permissions/restrictions for that group. The permissions/restrictions typically allow/prevent access to the resource, or allow/deny the performance of various operations by, or on, the resource, such as deleting, reading, writing, or otherwise using the resource.

[006] In certain operating systems (OSs), such as the UNIX® operating system, the ACL has been simplified to allow only three predefined accessibility levels of users: the owner of the resource, the owner's group, and the world, which would include anyone requesting access. For each of these user levels, three basic access permissions may generally be possible: "read", "write", and "execute".

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[007] One known method for carrying out access control on a network may be as follows: A person, X, is accepted into an enterprise or organization network, at which point he is associated with a user name and possibly added to one or more user groups. When person X requests access to a certain resource, the access list associated with that resource is consulted and searched for either the user name or the user group(s) associated with person X. Depending on the relevant ACL, access to the particular resource is either permitted or denied. In fact, in conventional systems, the only possible conclusion for a given access request is either to permit or to deny access.

[008] In such a system, the resultant security policy, which may be seen as a collection of all potential access permissions and denials, is distributed throughout the system, with little or no capability for effective management. Some systems include "agents" that monitor access and consult a more global policy, normally centrally located, to each permission grant or denial.

[009] However, known network security methods present several problems. First, since ACLs are typically input manually, the creation of the lists may be time consuming. As the number of users and resources grows, the task becomes more cumbersome and more prone to mistakes such as inappropriate exclusions, accidental inclusions, etc. Moreover, the person who typically sets up the listing, e.g., the system administrator, may not be aware of every user and/or resource on the network. Furthermore, even if the system administrator is aware of the relevant user and resource, he may not know the job requirements and applicability of each, and so he may not be able to determine the appropriate ACL.

[010] Yet another problem with conventional network security systems is the inflexibility of the ACL, which, by the nature of the input process, is predefined. Each

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time a change occurs in the system, whether in regard to a user, a resource, or permission therebetween, the ACL must be amended. Furthermore, since the listing is predefined, exceptions are difficult to implement. For example, if a user changes jobs, his group must be manually changed for him to gain access to the shared resources of his new group. If the user is performing a job temporarily, permissions may be needed for only a limited period of time. Certain permissions for him would have to be granted to perform the job and then revoked when no longer needed, requiring that someone remember to revoke the permissions at the later date.

[011] Thus, there exists a need for a more efficient, better defined access control method and for an associated system architecture that provides for flexible, adaptive use.

SUMMARY OF THE INVENTION

[012] An object of the present invention is to provide an access control system and architecture for accessing resources. It is another object of the invention to provide an access control system and architecture for accessing resources such as databases, files, computer peripherals and others.

[013] An embodiment of the present invention, therefore, provides a system adapted for controlling access by one or more users to one or more resources. The system includes at least one agent, which collects data about access attempts concerning the resources, and at least one access analyzer, which receives and processes the collected data. The access analyzer analyzes at least the collected data and generates permission levels based on the analysis.

[014] In accordance with the invention, an "access attempt" is an attempt to gain access to any of the resources on the system, regardless of whether the access is ultimately permitted or not. Thus, an access attempt includes the situations where access

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is granted, and also where access is denied. The data collected by the agent can be, for example, behavioral data concerning the users as well as data concerning the resource itself. More specifically, examples of the collected data include; the access distribution of the resource(s), that is, how each resource is allocated to the user(s); the level and frequency of access attempts initiated by particular user(s), etc. The collected data can also include information about activities such as how much CPU time each user utilizes and/or data regarding I/O and application usage.

[015] The permission levels may be access control permission levels, wherein the permission levels are presented as numbers within a given range, and wherein the likelihood that the access attempt is to be permitted is determined based on the value of the permission level. For example, the permission levels may be normalized to a range between 0 and 1 and the access can be permitted/denied depending on whether the permission level is above/below a certain threshold.

[016] The agent may include at least an enforcement means adapted to control access to the resources based on at least the permission levels. A system in accordance with the present invention may further include one or more controllers adapted to provide one or more rules to the agent, wherein the rules may be access control rules.

[017] Additionally, the enforcement means may be adapted to control access to the resources based on at least the permission levels and the rules and, the enforcement means need not necessarily be located within the agent. The enforcement means can be located external to the immediate network and its servers and enforce access to the resources through remote means. In further embodiments of the invention, the system may also include a discovery unit adapted to provide information to the controller,

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wherein the information may be data concerning the users and the resources. The discovery unit may include means for automatically gathering the information.

BRIEF DESCRIPTION OF THE DRAWINGS

[018] The object and features of the present invention will become more readily apparent from the following detailed description of the preferred embodiments taken in conjunction with the accompanying drawings in which:

[019] **FIG. 1** is a block diagram illustration of an access architecture, constructed and operative according to an embodiment of the present invention;

[020] **FIG. 2** is a block diagram illustration of an access control system, implemented using the access architecture of FIG. 1, constructed and operative according to an embodiment of the present invention; and

[021] **FIGS. 3A and 3B** are block diagram illustrations of alternative access control systems, implemented using the access architecture of FIG. 1, constructed and operative according to an embodiment of the present invention.

DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

[022] A preferred embodiment of the present invention is discussed in detail below. While specific configurations are discussed, it should be understood that this is done for illustration purposes only. A person skilled in the relevant art will recognize that other components and configurations may be used without departing from the spirit and scope of the invention.

[023] Reference is now made to FIG. 1, which is a block diagram illustrating the operation of the invention and an example of access architecture 10. Architecture 10 illustrates one embodiment of the present invention; other embodiments are also described below.

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[024] In order to facilitate the discussion of a preferred embodiment, the following is a list of relevant terms and associated definitions: "Resources" may be services, documents, data, files, databases, or any portion of such services, documents, data, files, databases, as well as peripheral devices or any other type of computer resources. "Access Attempt", as mentioned above, may be an attempt to use or otherwise gain access to a particular resource. "User(s)" may be any person, user group, or other resource wishing to access a resource; persons such as members of a company with which the resource resides, associates of the company (e.g., in a B2B situation), Internet browsers, etc. or programs or other resources. "User groups" may be teams of users with some actual or perceived shared trait, such as shared responsibilities, e.g., an accounting group, shared location, e.g., Haifa group, shared hierarchy in the corporation, e.g., a management group, etc. "Policy" may be a list of rules and "security policy" may be a list of rules that control the access privileges to resources. "Rules" may comprise at least user or user group names and/or associated access permission, denial or other result. "Administrators" may be persons who administer or manage computer systems such as those described herein. A "security policy table" may be a table that lists access options and other rules related to resource security. "Permission levels" refer to the likelihood that accesses to the resource will be required and/or granted. The permission levels may be likelihood estimates, possibly discretized and normalized to a specific range, for example, between 0 and 1. Such a permission level may be specific to the user, his group, time-of-day, location, or other parameters. An "analyzing algorithm" may be an algorithm that, based on gathered data, for example access requests, learns about activities and at least therefrom creates permission levels. "Adaptive permission levels" or "APL" may be permission levels generated periodically by an analyzing algorithm.

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An "agent" may be a software utility that collects data about the activities of the computer; a "guardian agent" is a type of agent that is capable of enforcement based on at least security policy rules. A guardian agent may further be capable of enforcement based, in addition, on permission levels.

[025] Illustrated in FIG. 1 is an exemplary system in accordance with the present invention. Three elements comprise an architecture 10: an Agent 100, a Control Unit 110, and an Access Analyzer 120. Agent 100 monitors access attempts 108 directed to particular resources, (not shown), and provides a periodic event audit trail 102 to access analyzer 120, reports alarms 104 to control unit 110 and, if it is a "Guardian Agent", enforces access restrictions 106 to the resource. Event Audit Trail 102, includes information regarding the access attempt(s), including but not limited to such things as whether the access was permitted, time of the access attempt, etc. Access analyzer 120 analyzes event audit trail 102, possibly using a first security policy 122 provided by control unit 110, and responds periodically by sending a list of permission levels 134 to agent 100. Access analyzer 120 also sends statistical information 132 to control unit 110. Based on permission levels 134, received from access analyzer 120 and optionally second security policy 122' received from control unit 110, agent 100, if it is a guardian agent, can provide enforcement 106. Access enforcement 106 includes enforcing the security control of the resources by permitting, alerting, denying, or otherwise controlling access to the resource.

[026] First and second security policy arrows 122 and 122' can represent the same security policy information from control unit 110 to access analyzer 120 and agent 100, respectively, or either the first or second security policy, 122 or 122', can comprise a subset of the other. Independently sending/receiving a security policy allows for the use

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of multiple agents 100, access analyzers 120, and control units 110 which all either send or receive united security policy 122, or 122'. Control unit 110 may use the alarms 104 received from agent 100, the statistical information 132 received from Access analyzer 120, and other user inputs (not shown) to create reports 126. Reports 126 provide all, or some, of the input information in a user defined format.

[027] In another embodiment of the present invention (not shown), first security policy 122 can be provided to agent 100 by way of access analyzer 120. In other words, access analyzer 120 receives first security policy 122 from control unit 110 and then sends it along to agent 100. According to this embodiment, it would not be necessary to provide second security policy 122' from Control Unit 110 to Agent 100.

[028] According to the architecture 10, described above, a system in accordance with the present invention may be used for various operations, including analysis, intrusion detection, website user profiling, database access, or any other resource access application, such as access control.

[029] FIG. 2, to which reference is now made, provides a relatively detailed illustration of an exemplary configuration of architecture 10, herein referred to as an access control architecture, or access system 20, which is constructed and operative in accordance with an embodiment of the present invention. Access system 20 comprises one or more agents 100, one or more access analyzers 120, one or more central control servers 110, an optional security policy (not shown) originating in control server 110, and optionally one or more auto discovery units 22. Access system 20 resides, for example, in a university, business, or any other organization, that has one or more servers 18, 18' and 18" which may communicate with other devices through either non-secure or secure channels (e.g., encrypted channels). Servers 18, 18' and 18'' include any computer

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resources that serve as gateways to other computer resources or services. Exemplary servers shown in FIG. 2 are databases 18', file servers 18", and personal computers 18, but other, similar machines, such as printer servers (not shown), could also be connected to system 20 in accordance with the present invention.

[030] In accordance with the present invention, system 20 can utilize one or more adaptive algorithms. For example, system 20 may be dedicated to the adaptive access control of resources on a network, as depicted in architecture 10 (FIG. 1). Optionally, for secure embodiments of the present invention, system 20 may also comprise a key authority (not shown), which can reside on control server 110 or on another appropriate platform. In a secure embodiment of the present invention, all communications to/from each device can be encrypted in accordance with conventional encryption tehniques. For example, each of the devices shown in FIG. 1, for example, Agent 100, Access Analyzer 120 and Control Unit 110, can be equipped with both encryption and decryption tools in order to encrypt the information it sends, and decrypt the information it receives.

Agent

[031] Agents 100, which may also be Guardian Agents as described above, reside on servers 18, 18' or 18" and monitor access attempts that occur on servers 18, 18' or 18" and gather data related to those access attempts, data such as the name of the user attempting access, the machine from which access is attempted, the time of day of the access attempt, the resource to which access is attempted, the type of access attempted, etc. The gathered data may then be sent as event audit trail 102 (FIG. 1) to access analyzer 120 to be used as input for an analyzing algorithm run by access analyzer 120. The analyzing algorithm can use at least the gathered data to generate permission levels 134 (FIG. 1).

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[032] In further embodiments, based on at least the permission levels 134, guardian agents 100 can protect the resources stored on servers 18, 18' or 18" by enforcing the permission levels 134. Enforcement may be performed by guardian agent 100 or by an enforcement unit (not shown) provided either within guardian agent 100 or as a separate unit.

[033] In yet another embodiment of this invention, event audit trail 102 is used by access analyzer 120 to generate the underlying system permissions, e.g., ACLs, that are used to update the system ACLs. In this embodiment, agent 100 may not necessarily be a guardian agent. In another embodiment of this invention, the consulting facilities of a computer system may be used. In such a case as a response to an access attempt 108 the system will respond with a query to the consulting facilities. The consulting facilities, based on permission levels provided by access analyzer 120 may respond with the required response relative to access attempt 108. In yet another embodiment of this invention, agent 100 may be implemented as a "proxy", i.e., a unit through which all the network traffic flows and which may not necessarily be part of the system it is protecting, and access attempts 108 will be handled from the "proxy" unit.

[034] Also, agents 100 can reside on control server 110 or any other appropriate platform. That is, it is not necessary for Agents 100 and Control Units 110 to be separate machines, their functionalities can be combined into a single machine.

[035] In other embodiments, based on at least the permission levels 134 and the security policy 122, 122', guardian agents 100 may protect the resources stored on servers 18, 18' or 18" by executing and enforcing access permissions and restrictions, and possibly notifications to other system resources, based on both the permission levels 134 and security policies 122, 122' to control access to the resources. As mentioned

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above, enforcement may be executed by guardian agent 100 or by an enforcement unit (not shown) within guardian agent 100, or as a separate unit.

Access Analyzer

[036] Access Analyzer 120 may be in communication with one or more agents 100 and each access analyzer 120 can support and control each of these agents 100, depending on the load of each agent 100 and the strength of access analyzer 120. Access analyzer 120 may further receive event audit trail 102 by a push, i.e., where the sender initiates the transfer, or pull, where the receiver initiates the transfer, method to transfer the event audit trail data from each agent 100, applying the data to an analyzing algorithm. For example, the transfer of event audit trail 102 may take place on a cyclic basis (e.g., once a day) and the analyzing algorithm may then be executed after the new event audit trail 102 data has been received.

[037] Access analyzer 120 can utilize any learning algorithm adapted for access control, an example of which is described in the co-pending U.S. Patent Application, filed on the same date herewith, entitled "Permission Level Generation Based on Adaptive Learning", and which is assigned to the same common assignee as the present application, and is incorporated herein by reference in its entirety for all it discloses.

[038] Access analyzer 120, based on security policy 122 and event audit trail 102, is operable to estimate the probability of an access attempt to a system resource occurring and, subsequently, define the most up-to-date permission levels 134. Permission levels 134, which are an output of the analyzing algorithm utilized within Access Analyzer 120, may be transmitted to agent 100, which may receive and/or transmit data to one or more access analyzers 120.

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Central Control Unit

[039] Control unit 110 may comprise means for interacting with access analyzers 120 and agents 100, and can manage activities within the system architecture 10 (FIG. 1) and system 20 (FIG. 2) having a single security policy, i.e., a combination of security policies 122, 122'. In other embodiments of the present invention, one or more control servers 110 may handle a single security policy. Control server 110 may control the system configuration, security policy, and response to reported events. When access attempts 108 occur, they may be reported to control unit 110, and, based on the nature of the attempt, control unit 110 may notify the appropriate person(s) or program(s) by e-mail or other form of communication. Control unit 110 may include a database, a report generation engine, and a scheduler.

[040] In a further embodiment in accordance with system 20, agents 100 may monitor access attempts 108 that occur on servers 18, 18' and 18" and gather data related to those attempts. The access attemtps and data that are monitored may relate to user or resource activities, or to any other operations that may occur on servers 18, 18' or 18". The access attempts 108 that are monitored may include resource retrieval and/or usage of, for example, documents, files, databases, computer peripherals, etc., resource accesses, logins, internal communication problems, access times and types, etc. Event audit trail 102 may include the number of times a resource is accessed, the users that access a specific resource, access time, type of access, any type of statistical data related to the access attempt, etc.

[041] Event audit trail 102 may be used as an input for the analyzing algorithm run by access analyzer 120 as mentioned above. In some embodiments of the invention, the analyzing algorithm uses at least event audit trail 102 to generate permission levels 134

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for respective accesses to resources. Permission levels 134 may be specific to each type of access, they may be time dependent, and/or they may correspond to each user and each resource.

[042] Agent 100 may receive permission levels 134 from access analyzer 120 and may receive security policy 122', in the form of a table, or some other format, from control unit 110. In some embodiments of the invention, rules related to the security policy may be defined in control unit 110 and enforced by a guardian agent type of agent 100.

[043] Based on at least permission levels 134 and second security policy 122' guardian agent 100 may execute and enforce the overall access requirements of the resource, thereby protecting the resources stored on servers 18, 18' or 18" from unauthorized access or use. Security policy rules may include a first threshold below or above which an alarm will be generated to notify the control unit 110 of an access attempt to a resource. Security policy rules may also include a second threshold below or above which access attempts to a resource will be denied. An example of a security policy including the security policy rules just described is in the co-pending U.S. Patent Application, filed on the same date herewith, entitled "A Method and Apparatus for a Security Policy", and assigned to common assignee of the present invention, and which is incorporated in its entirety herein by reference for all that is disclosed.

[044] Enforcement may comprise two different operations. For example, enforcement can include; 1) allowing operations that are permitted by both the security policy and the permission levels, if both exist, or; 2) blocking operations that are not permitted or are considered suspicious beyond a second threshold level mentioned above. The second operation may further include the generation of a different alarm if an operation is considered suspicious as is beyond a first level threshold.

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[045] Enforcement may be performed by guardian agent 100 or by an enforcement unit (not shown) within guardian agent 100. Alternatively, agents 100 may reside on control unit 110 or any other appropriate platform having access to system resources.

[046] The security policy rules and permission levels 134 may correspond to a user, a group of users, a resource, a group of resources or a combination of user(s) and resources(s). The security policy rules may also be applied on an access type and/or time basis, and/or may be applied on the basis of access parameter availability, such as location. User groups may be created by applying an algorithm, observing formal or informal hierarchy, or other method known in the art.

[047] Security policy rules may correspond to a resource, a user, or a <resource, user> pair, possibly in combination with a particular time, and access type as mentioned above. Agent 100 may determine which rules apply to each resource, each user, and each <resource, user> pair at each time. Enforcement determinations can be made on the basis of at least the rules and/or on other factors, such as location. Conflicts between rules that are defined for the same <resource, user> pair may be resolved in the security policy rules or flagged by the system, which can determine how to handle conflicts. The system may, for example, always follow the first security policy rule matching the access attempt. In another embodiment, the system may, for example, always follow the stricter of conflicting security policy rules.

[048] In further embodiments of the invention, agent 100 may protect specific resources by applying adaptive access control only to specific resources of the existing security system. In such embodiments, agent 100 does not replace or use any of the existing security subsystem. Instead, agent 100 may, in addition to following the specific resource rules, continue to enforce the system's existing rules and thus, may not

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permit anything that is blocked by the existing security subsystem. For example, if the operating system (OS) already permits/denies access to certain resources based on its own independent rules, the adaptive access control system of the present invention will not override the OS's rules and allow access to users that would otherwise not be permitted access.

[049] By being an extension of the existing system, agent 100 can further provide a uniform interface between the various systems since the rules of other existing systems are incorporated without the need to interface with those systems directly. Interfacing to other systems in this manner satisfies the definition of unified and universal security policy rules.

[050] There may be an agent 100 for each platform or application, and agent 100 may be implemented as an extension of the operating system (OS), a database, a Web-server, or an application.

[051] Discovery units 22 may comprise a tool used by control unit 110 to obtain information concerning users and resources on servers 18, 18' or 18". Discovery units 22 can receive instructions from control unit 110, when appropriate. For example, discovery unit 22 can collect information regarding which users are defined on servers 18, 18' or 18" and which resources are defined, or any other information that may be useful to control unit 110. As a further example, in some embodiments of the invention, discovery units 22 can report which users are logged-on the respective system. Discovery units 22 can gather information automatically or in response to a request from control unit 110 and Discovery units 22 may be a part of agent 100 or they can be a stand-alone units.

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[052] Access analyzer 120 can be in communication with agent 100 and receive event audit trail 102. Event audit trail 102 can be used as an input to access analyzer 120 and used in accordance with an adaptive access control analyzing algorithm, in which at least some of the output of the analyzing algorithm, for example permission levels 134, may be used as part of the enforcement 106.

[053] In order for access analyzer 120 to generate access control permission levels 134, the analyzing algorithm can use "Knowledge" pertaining to user activity. Knowledge is derived from the data gathered by agents 100. The data used in gaining "Knowledge" about user activity can be transferred from agents 100 to access analyzers 120 as frequently, or infrequently, as necessary, such as daily, bi-weekly, etc. Updated data can be matched with past (known) user behavior patterns, and the behavior patterns can be updated by access analyzer 120. By consulting the user behavior patterns, it is possible to analyze and determine what each user does, what the relationships between users are, and which resources are likely to be used by various users (or user groups) in the future. As mentioned above, an exemplary analyzing algorithm is described in the co-pending U.S. Patent Application, filed on the same date herewith, entitled "Permission Level Generation Based on Adaptive Learning".

[054] Furthermore, access analyzer 120 can generate permission levels, possibly by calculating the likelihood that a particular access attempt should be permissible. The permission levels are numbers in a given range, wherein the higher the number the more likely the access attempt is to be permitted. The permission levels may be normalized to a range between 0 and 1, or any other appropriate range or scale.

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[055] In some embodiments of the invention, access control determinations can be made in run-time by agent 100. In such an instance, access analyzer 120 provides the permission levels 134 to agent 100 in advance or in generally real-time.

[056] Providing organizational structure of users information of the system to the analyzing algorithm is optional. In other words, the analyzing algorithm can operate using only the data gathered by agent 100. Nevertheless, the analyzing algorithm can accept additional data, such as organizational structure information, if provided. Additional data, such as the OS permissions, or feedback from users, may improve the quality of the results, shorten the run time of the analyzing algorithm, or reduce the numbers of runs of the analyzing algorithm until convergence, or a good result, is achieved. Conversely, false input can reduce quality or increase run-time. However, given that the algorithm can resolve inaccuracies by "learning", the false input may not cause completely incorrect determinations, and effects of such will be practically eliminated over time.

[057] Control unit 110 can request that agent 100 gather information upon demand. Control unit 110 can also act as a cryptographic key manager, serving as a certificate authority, and can, further maintain a list of system administrators and their associated privileges.

[058] When access attempts 108 occur, they may be reported to control unit 110, and, based on the nature of the event, control unit 110 may notify the appropriate person(s) and/or log the events outlined in the reports for future reference. Control unit 110 can be operable to prepare and generate reports, schedule activities for execution, save the reports in an archive, and/or optionally distribute the reports by email, links, or other means of communication, to a recipient list, and/or link to them.

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[059] In accordance with an embodiment of the present invention, the following is an exemplary access control scenario: Agent 100 monitors a request for access to a certain resource. Agent 100 either has or receives security policy 122' (including rules) from control unit 110. Agent 100 also either has or receives permission levels 134 from access analyzer 120. Based on permission levels 134 and security policy 122', agent 100, if it is a guardian agent, provides enforcement 106. Enforcement 106 comprise of blocking access, permitting access, reporting the access attempt, etc.

[060] Access analyzer 120 receives from agent 100 data about the access attempt and executes the analyzing algorithm. The output of the analyzing algorithm may be permission levels 134, which are transferred periodically to agent 100. The activities of agent 100 and access analyzer 120 may be time-independent with respect to each other. For example, while agent 100 operates on each and every access attempt 108, access analyzer 120 may operate periodically, based on sufficient information collected from event audit trail 102, or at the conclusion of a predefined period of time.

[061] Control unit 110 can be notified of the access attempt and any subsequent confirmation of enforcement and can generate a report based on the data for on-line review or for distribution.

[062] An important feature of the present invention is that each of the parts -- agent 100, access analyzer 120, and control unit 110 -- can operate independently. That is, agent 100 can continue operating even if its connection to access analyzer 120 is not operative. For example, Agent 100 can continue gathering event audit trail data and use its latest stored version of permission levels 134 even if no updated permission levels are being provided. Access analyzer 120 can perform the analyzing algorithm using the latest event audit trail data it has received, whether or not agent 100 is currently

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communicating with access analyzer 120. Likewise, access analyzer 120 can perform the analyzing algorithm using the latest security policy 122 it has received, whether or not control unit 110 is currently communicating. Control unit 110 can be used at any time to set overall security policy 122, 122', which is transmitted to access analyzer 120 and agent 100, when possible. Finally, statistical information 132 and alarms 104 can be received by control unit 110 when any disrupted connections are eventually restored, and reports 126 can be generated independently, periodically or upon request.

[063] System 20 is further operable on alternative architectures, such as those illustrated in FIGS. 3A and 3B, which show architectures 30 and 40, respectively, to which reference is now made. Architecture 30 is a simple configuration that may be applicable for small businesses. As shown in FIG. 3A, architecture 30 can comprise control unit 110 and file server 18, with the components of agent 100 and access analyzer 120 both residing on server 18. Architecture 30 can provide the compactness and flexibility needed for small computing environments.

[064] Alternatively, architecture 40, shown in FIG. 3B may be applicable for application service providers (ASPs), and may operate on a local or non-local system, such as the Internet or web, and may operate on a direct line, without intermediate providers. Architecture 40 may comprise at least one file server 18, one or more optional firewalls 28, and an application server 32. As noted in FIG. 3B, in order to adapt to the appropriate architecture and/or system, the components of agent 100 may be operable from file server 18. Access analyzer 120 and control unit 110 may reside on application server 32. Application server 32 may be connected to file server 18 through firewalls 28 and over the Internet. This will allow for a remote implementation of the security system by an application provider.

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[065] It will be appreciated by persons skilled in the art that the present invention is not limited by what has been particularly shown and described herein above. Rather the scope of the invention is defined by the claims that follow.

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WHAT IS CLAIMED IS:

1. A computer network with a security system, the security system comprising:

at least one agent operable to identify an access attempt directed to a resource on the network and further operable to respond to said access attempt in accordance with at least permission levels; and

at least one access analyzer operable to analyze an event audit trail and provide said permission levels to said agent.

2. The computer network of claim 1, further comprising at least one control unit operably connected to said agent and said access analyzer.

3. The computer network of claim 2, wherein said control unit comprises at least a security policy.

4. The computer network of claim 3, wherein said guardian agent implements a unified security policy which is a unification of the said systems original security policy and an security policy operable with at least said permission levels.

5. The computer network of claim 4, wherein said unified security policy implements the most restrictive rules.

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6. The computer network of claim 4, wherein said unified security policy implements the most permissive rules.

7. The computer network of claim 3, wherein said security policy comprises at least one security rule.

8. The computer network of claim 7, wherein said security rule defines at least one response to said access attempt.

9. The computer network of claim 8, wherein said response comprises at least allowing an access.

10. The computer network of claim 8, wherein said response comprises at least denying an access.

11. The computer network of claim 8, wherein said response comprises at least notification of an access.

12. The computer network of claim 8, wherein said response is adaptive in accordance with at least said permission levels.

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13. The computer network of claim 12, wherein said adaptive response is further determined in accordance with at least one activation threshold.

14. The computer network of claim 13, wherein said response comprises at least allowing an access, determined at least in accordance with a first activation threshold.

15. The computer network of claim 13, wherein said response comprises at least denying an access, determined at least in accordance with a first activation threshold.

16. The computer network of claim 13, wherein said response comprises at least notification of an access, determined at least in accordance with a second activation threshold.

17. The computer network of claim 2, further comprising a discovery unit operable to provide information to said control unit.

18. The computer network of claim 17, wherein said information includes data relative to at least a user of said network.

19. The computer network of claim 17, wherein said information includes data relative to at least a resource accessible through said network.

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20. The computer network of claim 17, wherein gathering of said information is automatic.

21. The computer network of claim 2, wherein said access analyzer provides said agent with only deny or permit status for each access attempt.

22. The computer network of claim 1, further comprising at least one control unit operably connected to said access analyzer.

23. The computer network of claim 22, wherein said control unit comprises at least a security policy.

24. The computer network of claim 23, wherein said guardian agent implements a unified security policy which is a unification of the said systems original security policy and an security policy operable with at least said permission levels.

25. The computer network of claim 24, wherein said unified security policy implements the most restrictive rules.

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26. The computer network of claim 24, wherein said unified security policy implements the most permissive rules.

27. The computer network of claim 23, wherein said security policy comprises at least one security rule.

28. The computer network of claim 27, wherein said security rule defines at least one response to said access attempt.

29. The computer network of claim 28, wherein said response comprises at least allowing an access.

30. The computer network of claim 28, wherein said response comprises at least denying an access.

31. The computer network of claim 28, wherein said response comprises at least notification of an access.

32. The computer network of claim 28, wherein said response is adaptive in accordance with at least said permission levels.

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33. The computer network of claim 32, wherein said adaptive response is further determined in accordance with at least one activation threshold.

34. The computer network of claim 33, wherein said response comprises at least allowing an access, determined at least in accordance with a first activation threshold.

35. The computer network of claim 33, wherein said response comprises at least denying an access, determined at least in accordance with a first activation threshold.

36. The computer network of claim 33, wherein said response comprises at least notification of an access, determined at least in accordance with a second activation threshold.

37. The computer network of claim 22, further comprising a discovery unit operable to provide information to said control unit.

38. The computer network of claim 37, wherein said information includes data relative to at least a user of said network.

39. The computer network of claim 37, wherein said information includes data relative to at least a resource accessible through said network.

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40. The computer network of claim 37, wherein gathering of said information is automatic.

41. The computer network of claim 22, wherein said access analyzer provides said agent with only deny or permit status for each access attempt.

42. The computer network of claim 1, wherein said agent responds to said access attempt in accordance with a result of comparing at least one permission level to at least one threshold.

43. The computer network of claim 42, wherein said agent permits access to said resource if the permission level exceeds a first threshold.

44. The computer network of claim 42, wherein said agent denies access to said resource if the permission level does not exceed a first threshold.

45. The computer network of claim 42, wherein said agent sends a notification of said access attempt to said control unit if the permission level is below a second threshold.

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46. The computer network of claim 1, wherein said access attempt comprises at least one of: a user, a resource, a location, an access type, a time.

47. The computer network of claim 46, wherein said user may be one or more users.

48. The computer network of claim 46, wherein said resource may be one or more resources.

49. The computer network of claim 46, wherein said location may be one or more locations.

50. The computer network of claim 46, wherein said access type comprises at least one of the following; read, write, modify, execute, delete, rename, take ownership of, change permissions of, or create said resource.

51. The computer network of claim 1, wherein said access attempt comprises at least a time scope.

52. The computer network of claim 1, wherein said event audit trail is derived from at least one access attempt.

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53. The computer network of claim 52, wherein said event audit trail is provided to said access analyzer on a periodic basis.

54. The computer network of claim 52, wherein said event audit trail is periodically solicited by said access analyzer.

55. The computer network of claim 52, wherein said access attempt is ignored by said agent with respect to at least one access attempt.

56. The computer network of claim 1, wherein said permission levels are derived from at least likelihood estimates that a future access attempt should be permitted.

57. The computer network of claim 1, wherein said agent comprises at least one enforcement means for controlling access to said resources based on at least said permission levels.

58. The computer network of claim 1, wherein said permission levels are generated periodically based on a currently available event audit trail.

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59. The computer network of claim 1, wherein said agent and said access analyzer reside on a single computer.

60. The computer network of claim 2, wherein said agent and said control unit reside on a single computer.

61. The computer network of claim 2, wherein said access analyzer and said control unit reside on a single computer.

62. The computer network of claim 2, wherein said agent, said access analyzer and said control unit reside on a single computer.

63. The computer network of claim 1, wherein said permission levels generated by said access analyzer are used for the purpose of updating at least an access control list of at least a system resource.

64. The computer network of claim 1, wherein said access analyzer provides permission level information to at least a system consulting unit.

65. The computer network of claim 64, wherein in response to said access attempt a query is sent to said system consulting unit.

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66. The computer network of claim 65, wherein in response to said query asid system consulting unit provides a response corresponding at least to said permission levels.

67. The computer network of claim 1, wherein said agent is implemented as a proxy server.

68. A system comprising a computer network with a distributed security system, the system further comprising:

at least one agent connected to the Internet, said agent being operable to identify an access attempt directed to a resource on the computer network and further operable to respond to said access attempt in accordance with at least permission levels;

at least one access analyzer connected to the Internet, said access analyzer being operable to analyze an event audit trail and provide said permission levels to said agent; and

a communication device operable to provide communication between said agent and said access analyzer.

69. The system of claim 68, wherein the agent is connected to the Internet through a firewall.

70. The system of claim 68, wherein the access analyzer is connected to the Internet through a firewall.

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71. The system of claim 68, further comprising at least one control unit operably connected to the Internet.

72. The system of claim 71, wherein the control unit is connected to the Internet through a firewall.

73. The system of claim 71, wherein said control unit and said access analyzer are implemented on the same computer.

74. The system of claim 71, wherein said control unit and said access analyzer are implemented on the same intranet.

75. The system of claim 71, wherein said control unit and said agent are implemented on the same computer.

76. The system of claim 71, wherein said control unit and said agent are implemented on the same intranet.

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77. The system of claim 71, wherein said guardian agent implements a unified security policy which is a unification of the said systems original security policy and an security policy operable with at least said permission levels.

78. The system of claim 77, wherein said unified security policy implements the most restrictive rules.

79. The system of claim 77, wherein said unified security policy implements the most permissive rules.

80. The system of claim 77, wherein said security policy comprises at least one security rule.

81. The system of claim 80, wherein said security rule defines at least one response to said access attempt.

82. The system of claim 81, wherein said response comprises at least allowing an access permission.

83. The system of claim 51, wherein said response comprises at least denying an access.

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84. The system of claim 81, wherein said response comprises at least notification of an access.

85. The system of claim 81, wherein said response is adaptive in accordance with at least said permission levels.

86. The system of claim 85, wherein said adaptive response is further determined in accordance with at least one activation threshold.

87. The system of claim 86, wherein said response comprises at least allowing an access, determined at least in accordance with a first activation threshold.

88. The system of claim 86, wherein said response comprises at least denying an access, determined at least in accordance with a first activation threshold.

89. The system of claim 86, wherein said response comprises at least notification of an access, determined at least in accordance with a second activation threshold.

90. The system of claim 69, further comprising a discovery unit operable to provide information to said control unit.

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91. The computer network of claim 90, wherein said information includes data relative to at least a user of said network.

92. The computer network of claim 90, wherein said information includes data relative to at least a resource accessible through said network.

93. The computer network of claim 90, wherein gathering of said information is automatic.

94. The system of claim 68, wherein said agent responds to said access attempt in accordance with a result of comparing at least one permission level to at least one constant threshold.

95. The system of claim 94, wherein said agent permits access to said resource if the permission level exceeds a first threshold.

96. The system of claim 94, wherein said agent denies access to said resource if the permission level does not exceed a first threshold.

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97. The system of claim 94, wherein said agent sends a notification of said access attempt to said control unit if the permission level is below a second threshold.

98. The system of claim 68, wherein said access attempt comprises at least one of: a user, a resource, a location, an access type, a time.

99. The system of claim 68, wherein said user may be one or more users.

100. The system of claim 68, wherein said resource may be one or more resources.

101. The system of claim 68, wherein said location may be one or more locations.

102. The system of claim 68, wherein said access type comprises at least one of the following; read, write, modify, execute, delete, rename, take ownership of, change permissions of, or create, said resource.

103. The system of claim 68, wherein said access attempt comprises at least a time scope.

104. The system of claim 68, wherein said event audit trail is derived from at least one access attempt.

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105. The system of claim 104, wherein said event audit trail is provided to said access analyzer on a periodic basis.

106. The system of claim 104, wherein said event audit trail is periodically solicited by said access analyzer.

107. The system of claim 104, wherein said access attempt is ignored by said agent with respect to at least one access attempt.

108. The system of claim 68, wherein said permission levels are derived from at least likelihood estimates that a future access attempt should be permitted.

109. The system of claim 68, wherein said agent comprises at least one enforcement means for controlling access to said resources based on at least said permission levels.

110. The system of claim 68, wherein said permission levels are generated periodically based on a currently available event audit trail.

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111. The system of claim 68, wherein said agent and said access analyzer reside on a single computer.

112. The system of claim 71, wherein said agent and said control unit reside on a single computer.

113. The system of claim 71, wherein said access analyzer and said control unit reside on a single computer.

114. The system of claim 71, wherein said agent, said access analyzer and said control unit reside on a single computer.

115. The system of claim 68, wherein said permission levels generated by said access analyzer are used for the purpose of updating at least an access control list of at least a system resource.

116. The system of claim 68, wherein said access analyzer provides permission level information to at least a system consulting unit.

117. The system of claim 116, wherein in response to said access attempt a query is sent to said system consulting unit.

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118. The system of claim 117, wherein in response to said query asid system consulting unit provides a response corresponding at least to said permission levels.

119. The system of claim 68, wherein said agent is implemented as a proxy server.

120. A method for controlling access to resources available through the system, said method comprising:

establishing a first threshold value;

gathering an event audit trail comprising data corresponding to at least one access attempt;

periodically analyzing said event audit trail;

generating a permission level for accessing system resources from at least said event audit trail; and

controlling access to said resources based on said generated permission level.

121. A method as claimed in claim 120, wherein said generated permission level comprises adaptive permission levels generated by periodically automatically modifying said event audit trail to account for the most recent access attempt or access attempts.

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122. The method of claim 120, wherein if said permission level exceeds said first threshold value, access to said resource is permitted.

123. The method of claim 120, wherein if said permission level does not exceed said first threshold value access to said resource is denied.

124. The method of claim 120, further comprising:

establishing a second threshold value; and

generating a notification if said permission level is below said second threshold value.

125. The method of claim 120, wherein said permission levels are derived from at least at least likelihood estimates that a future access attempt should be permitted.

126. The method of claim 125, wherein said likelihood calculations comprise a probability that a future access attempt should be permitted.

127. The method of claim 120, further comprising:

discovering information about users and said resources.

128. The method of claim 127, wherein said discovering occurs automatically.

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129. A method for employing adaptive permissions for accessing system resources comprising of the steps of:

establishing a system security policy said security policy containing at least one adaptive security rule;

gathering an event audit trail of at least one access attempt;

periodically analyzing said event audit trail;

generating permission levels for accessing system resources from at least said event audit trail and said security policy; and

controlling access to said resources based on said generated permission levels.

130. The method of claim 129, wherein the security policy is formatted as a security policy table.

131. The method of claim 129, wherein said adaptive security rule comprises at least one threshold.

132. The method of claim 131, wherein if said permission level exceeds said first threshold value access to said resource is permitted.

133. The method of claim 131, wherein if said permission level does not exceed said first threshold value access to said resource is denied.

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134. The method of claim 131, wherein if said permission level is below said second threshold value a notification is generated.

135. The method of claim 129, wherein said permission levels are derived from at least the likelihood estimates that a future access attempt should be permitted.

136. The method of claim 129, further comprising the step of discovering information about users and said resources.

137. The method of claim 136, wherein said step of discovering is automatic.

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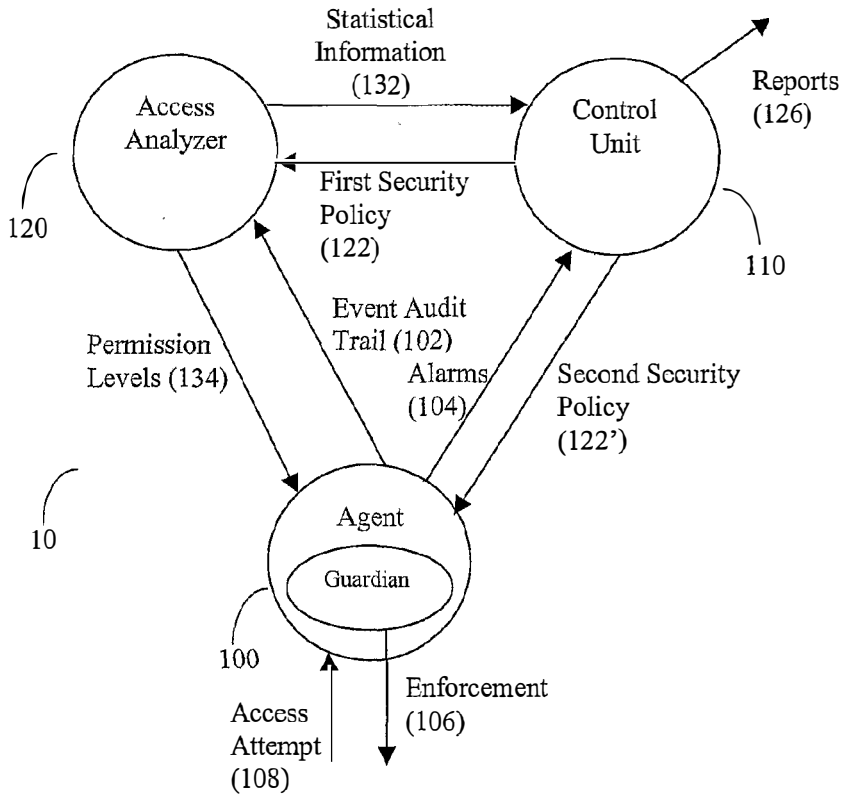

Statistical Information (132)
Access Analyzer
Control Unit
Reports (126)
120
First Security Policy (122)
110
Event Audit Trail (102)
Permission Levels (134)
Alarms (104)
Second Security Policy (122')
10
Agent
Guardian
100
Enforcement (106)
Access Attempt (108)

FIG.1

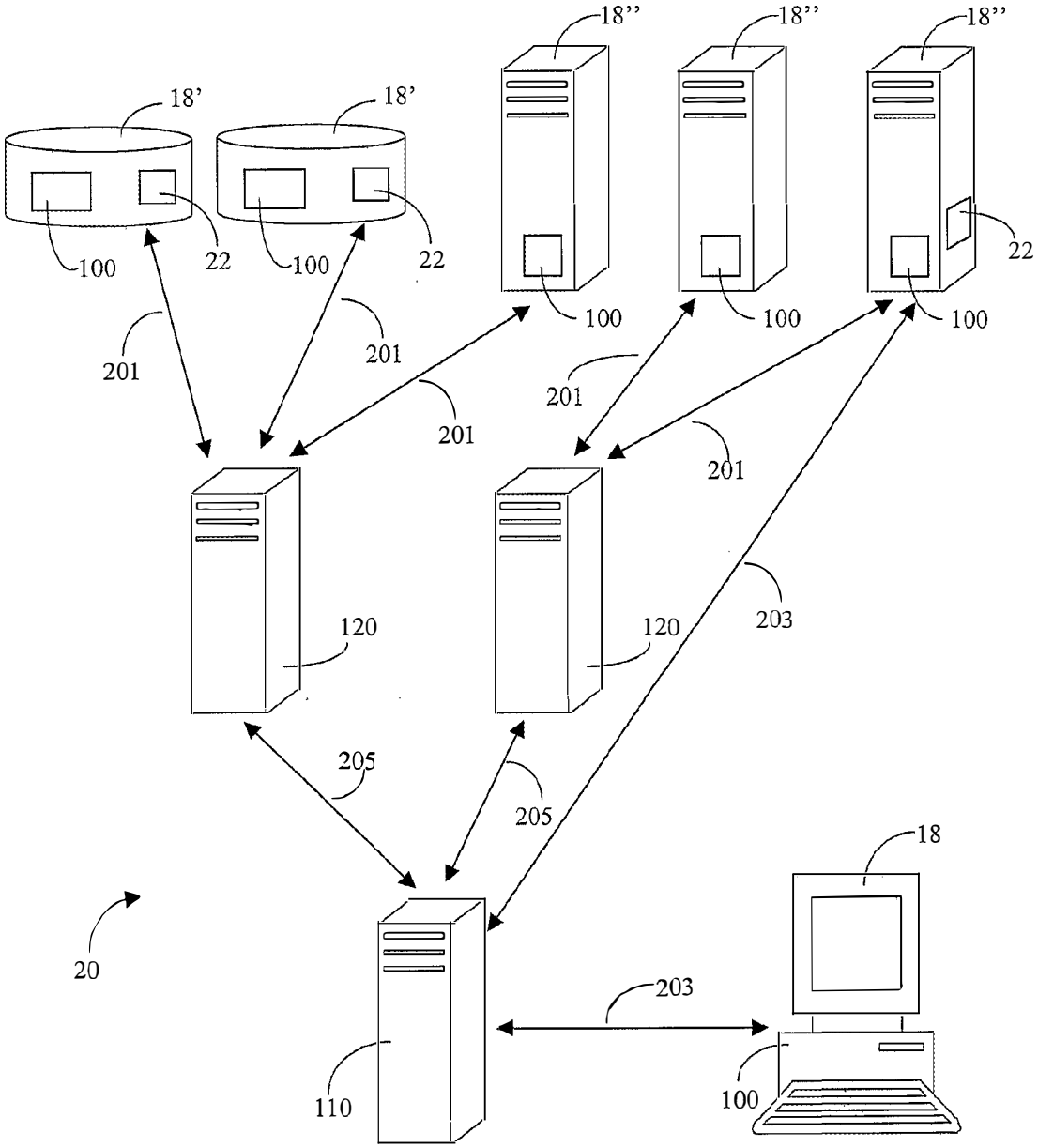

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18''
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18
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203
110
100

FIG. 2

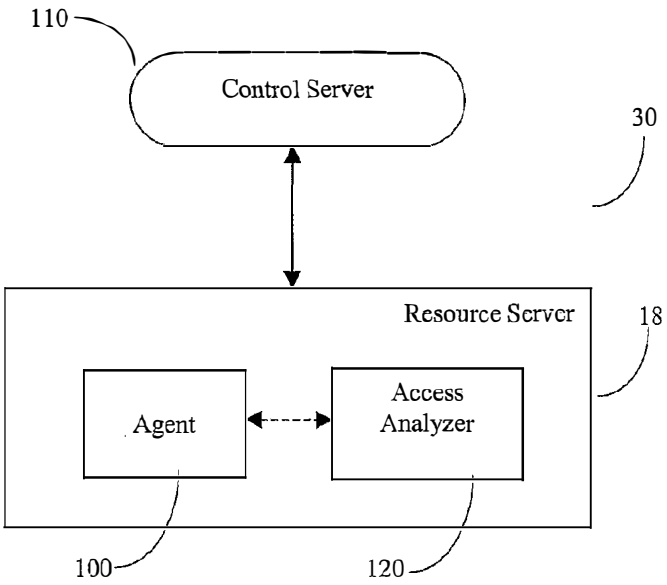


FIG. 3A

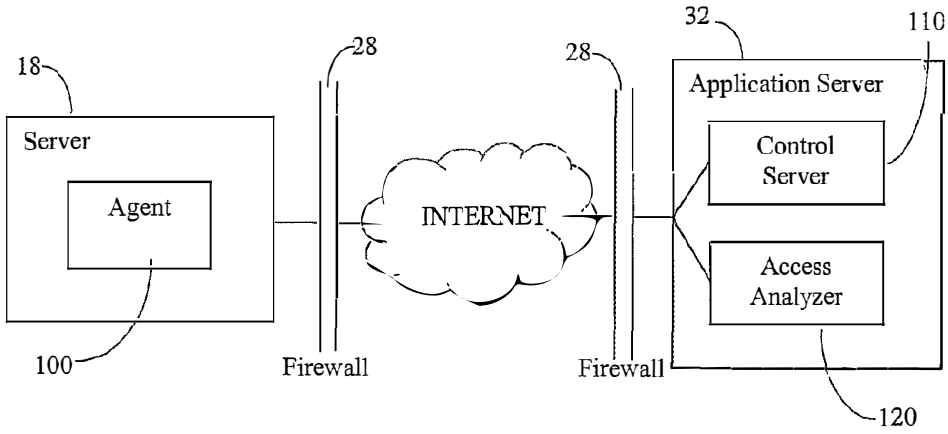


FIG. 3B

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(71) Applicant: **CORE SDI, INCORPORATED** [US/US]; 12th Floor, 44 Wall Street, New York, NY 10005 (US).

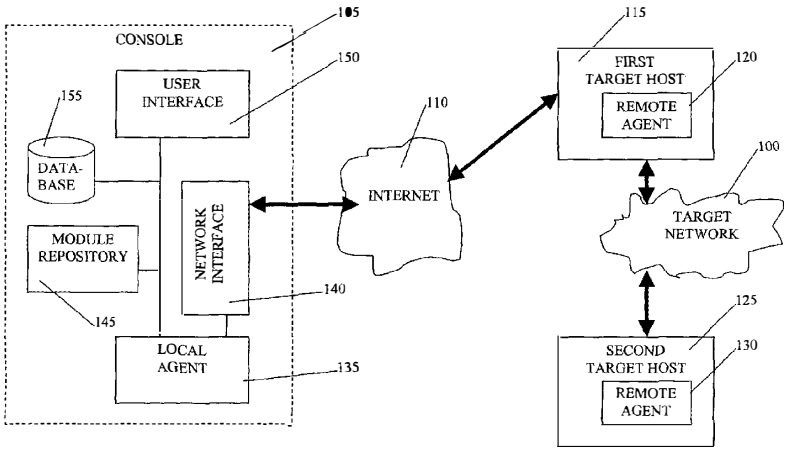
(72) Inventors: **CACERES, Maximiliano, Gerardo**; Freire 2140 10c Capital Federal, Ciudad Autonoma de Buenos Aires, CP 1428 (AR). **RICHARTE, Gerardo, Gabriel**; Pasaje Emilio Zola 5194, Ciudad Autonoma de Buenos Aires, CP 1425 (AR). **FRIEDMAN, Augustin, Azubel**; Juncal 2307 2do A, Ciudad Autonoma de Buenos Aires, CP 1425 (AR). **QUESADA, Ricardo**; Billinghurst 2444 6b, Ciudad Autonoma de Buenos Aires, CP 1425 (AR). **NOTARFRANCESCO, Luciano**; Av. Independencia 532, 6to C, Ciudad Autonoma de Buenos Aires (AR). **FRIEDRICHS, Oliver**; 442 Ninth Avenue, Menlo Park, CA 94025 (US). **BURRONI, Javier**; Salta 1363 13D, Ciudad Autonoma de Buenos Aires, CP 1137 (AR). **AJZENMAN, Gustavo**; Estado de Israel 4755 7 "A", Ciudad Autonoma de Buenos Aires (AR). **BECEDILLAS, Gabriel**; Jose Ingenieros 1468, Olivos, Provincia de Buenos Aires, CP 1636 (AR). **LEIDL, Bruce**; Lima 571, piso: 8 dept.: B, Ciudad Autonoma de Buenos Aires, C1073AAK (AR).

(74) Agents: **WISCHHUSEN, Carl, B.** et al.; Fitzpatrick, Cella, Harper & Scinto, 30 Rockefeller Plaza, New York, NY 10112-3801 (US).

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[Continued on next page]

(54) Title: AUTOMATED COMPUTER SYSTEM SECURITY COMPROMISE



(57) Abstract: A system is provided for performing penetration testing of a target computer network by installing a remote agent (120) in the target computer network (100). The system includes a local agent (135) provided in a computer console (105) and configured to receive and execute commands. A user interface (150) is provided in the console and configured to send commands to and receive information from the local agent (135), process the information, and present the processed information. A database (155) is configured to store the information received from the local agent. A network interface (140) is connected to the local agent and configured to communicate with the remote agent installed in the target computer network (100) via a network (110). Security vulnerability exploitation modules are provided for execution by the local agent (135) and/or the remote agent (130).

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LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, OM, PH, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TN, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZM, ZW.

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