Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brett M. Oliphant	
(37 CFR §1.98(b))		Filing Date 09/28/2014	Group Art Unit

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Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	226	6,928,555	08/09/2005	Drew			
	227	6,931,540	08/16/2005	Edwards et al.			
	228	6,931,546	08/16/2005	Kouznetsov et al.			
	229	6,934,857	08/23/2005	Bartleson et al.			
	230	6,938,161	08/30/2005	Vignoles et al.			
	231	6,941,358	09/06/2005	Joiner et al.			
	232	6,944,775	09/13/2005	Barton et al.			
	233	6,947,986	09/20/2005	Huang et al.			
	234	6,950,933	09/27/2005	Cook et al.			
	235	6,950,947	09/27/2005	Purtell et al.			
	236	6,959,418	10/25/2005	Churchyard			
	237	6,961,783	11/01/2005	Cook et al.			
	238	6,963,978	11/08/2005	Muttik et al.			
	239	6,964,014	11/08/2005	Parish			
	240	6,965,928	11/15/2005	Cox et al.			
	241	6,966,059	11/15/2005	Shetty et al.			
	242	6,968,461	11/22/2005	Lucas et al.			
	243	6,970,697	11/29/2005	Kouznetsov et al.			
	244	6,970,823	11/29/2005	Yago et al.			
	245	6,971,023	11/29/2005	Makinson et al.			
	246	6,973,577	12/06/2005	Kouznetsov			
	247	6,973,578	12/06/2005	McIchionc			
	248	6,976,068	12/13/2005	Kadam et al.			
	249	6,976,168	12/13/2005	Branstad et al.			
	250	6,978,454	12/20/2005	Singleton			

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	251	6,980,992	12/27/2005	Hursey et al.			
	252	6,981,280	12/27/2005	Grupe			
	253	6,983,325	01/03/2006	Watson et al.			
	254	6,983,326	01/03/2006	Vigue et al.			
	255	6,983,380	01/03/2006	Ko			
	256	6,983,486	01/03/2006	Hanchett			
	257	6,986,160	01/10/2006	LeGrow			
	258	6,987,963	01/17/2006	Kouznetsov et al.			
	259	6,988,209	01/17/2006	Balasubramaniam et al.			
	260	6,993,660	01/31/2006	Libenzi et al.			
	261	7,000,247	02/14/2006	Banzhof			
	262	7,000,250	02/14/2006	Kuo et al.			
	263	7,003,561	02/21/2006	Magdych et al.			
	264	7,007,302	02/28/2006	Jagger et al.			
	265	7,010,696	03/07/2006	Cambridge et al.			
	266	7,013,330	03/14/2006	Tarbotton et al.			
	267	7,016,939	03/21/2006	Rothwell et al.			
	268	7,016,948	03/21/2006	Yildiz			
	269	7,023,861	04/04/2006	Makinson et al.			
	270	7,024,432	04/04/2006	Muttik et al.			
	271	7,024,694	04/04/2006	Ko			
	272	7,035,544	04/25/2006	Won			
	273	7,036,147	04/25/2006	Hursey			
	274	7,039,702	05/02/2006	Churchyard			
	275	7,039,721	05/02/2006	Wu et al.			

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	277	7,043,634	05/09/2006	Wolff et al.			
	278	7,043,756	05/09/2006	Tsafnat et al.			
	279	7,043,758	05/09/2006	Grupe			
	280	7,047,297	05/16/2006	Huntington et al.			
	281	7,051,077	05/23/2006	Lin			
	282	7,055,036	05/30/2006	Kouznetsov et al.			
	283	7,058,975	06/06/2006	Edwards et al.			
	284	7,062,555	06/13/2006	Kouznetsov et al.			
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	286	7,065,790	06/20/2006	Gryaznov			
	287	7,069,316	06/27/2006	Gryaznov			
	288	7,069,330	06/27/2006	McArdle et al.			
	289	7,069,581	06/27/2006	Fu et al.			
	290	7,069,594	06/27/2006	Bolin			
	291	7,076,650	07/11/2006	Sonnenberg			
	292	7,080,000	07/18/2006	Cambridge			
	293	7,080,408	07/18/2006	Pak et al.			
	294	7,085,931	08/01/2006	Smith et al.			
	295	7,085,934	08/01/2006	Edwards			
	296	7,086,050	08/01/2006	Barton et al.			
	297	7,089,259	08/08/2006	Kouznetsov et al.			
	298	7,089,302	08/08/2006	Churchyard et al.			
	299	7,093,002	08/15/2006	Wolff et al.			
	300	7,093,121	08/15/2006	Barton et al.			

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	302	7,093,293	08/15/2006	Smithson et al.			
	303	7,096,368	08/22/2006	Kouznetsov et al.			
	304	7,096,500	08/22/2006	Roberts et al.			
	305	7,096,501	08/22/2006	Kouznetsov et al.			
	306	7,096,503	08/22/2006	Magdych et al.			
	307	7,107,366	09/12/2006	Cheng et al.			
	308	7,107,574	09/12/2006	Nedbal			
	309	7,107,617	09/12/2006	Hursey et al.			
	310	7,107,618	09/12/2006	Gordon et al.			
	311	7,114,183	09/26/2006	Joiner			
	312	7,114,185	09/26/2006	Moore et al.			
	313	7,117,533	10/03/2006	Libenzi			
	314	7,120,252	10/10/2006	Jones et al.			
	315	7,124,181	10/17/2006	Magdych et al.			
	316	7,134,140	11/07/2006	Fisher			
	317	7,136,487	11/14/2006	Schon et al.			
	318	7,140,042	11/21/2006	Verma			
	319	7,146,155	12/05/2006	Kouznetsov			
	320	7,146,642	12/05/2006	Magdych et al.			
	321	7,149,189	12/12/2006	Huntington et al.			
	322	7,150,042	12/12/2006	Wolff et al.			
	323	7,152,105	12/19/2006	McClure et al.			
	324	7,152,241	12/19/2006	Grupe			
	325	7,154,857	12/26/2006	Joiner et al.			

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	327	7,162,698	01/09/2007	Huntington et al.			
	328	7,171,681	01/30/2007	Duncan et al.			
	329	7,171,690	01/30/2007	Kouznetsov et al.			
	330	7,181,015	02/20/2007	Matt			
	331	7,181,506	02/20/2007	Vigue et al.			
	332	7,181,613	02/20/2007	Boebert et al.			
	333	7,185,361	02/27/2007	Ashoff et al.			
	334	7,188,367	03/06/2007	Edwards et al.			
	335	7,203,963	04/10/2007	Wu et al.			
	336	7,209,954	04/24/2007	Rothwell et al.			
	337	7,210,041	04/24/2007	Gryaznov et al.			
	338	7,210,168	04/24/2007	Hursey et al.			
	339	7,213,153	05/01/2007	Hollander et al.			
	340	7,213,260	05/01/2007	Judge			
	341	7,225,466	05/29/2007	Judge			
	342	7,228,565	06/05/2007	Wolff et al.			
	343	7,231,440	06/12/2007	Kouznetsov et al.			
	344	7,231,637	06/12/2007	McEwan			
	345	7,231,664	06/12/2007	Markham et al.			
	346	7,231,665	06/12/2007	McArdle et al.			
	347	7,234,165	06/19/2007	Hursey et al.			
	348	7,234,167	06/19/2007	Teblyashkin et al.			
	349	7,234,168	06/19/2007	Gupta et al.			
	350	7,237,008	06/26/2007	Tarbotton et al.			

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U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	351	7,237,122	06/26/2007	Kadam et al.			
	352	7,237,222	06/26/2007	Nedbal et al.			
	353	7,237,258	06/26/2007	Pantuso et al.			
	354	7,240,102	07/03/2007	Kouznetsov et al.			
	355	7,243,148	07/10/2007	Keir et al.			
	356	7,243,373	07/10/2007	Muttik et al.			
	357	7,251,685	07/31/2007	Yildiz			
	358	7,251,830	07/31/2007	Melchione			
	359	7,254,811	08/07/2007	Kouznetsov et al.			
	360	7,257,630	08/14/2007	Cole et al.			
	361	7,257,773	08/14/2007	Jagger et al.			
	362	7,257,842	08/14/2007	Barton et al.			
	363	7,263,561	08/28/2007	Green et al.			
	364	7,263,718	08/28/2007	O'Brien et al.			
	365	7,266,843	09/04/2007	Tarbotton et al.			
	366	7,266,844	09/04/2007	Teblyashkin et al.			
	367	7,269,649	09/11/2007	Brown et al.			
	368	7,269,851	09/11/2007	Ackroyd			
	369	7,272,724	09/18/2007	Tarbotton et al.			
	370	7,277,957	10/02/2007	Rowley et al.			
	371	7,281,267	10/09/2007	Tarbotton et al.			
	372	7,281,268	10/09/2007	Hollander et al.			
	373	7,284,267	10/16/2007	McArdle et al.			
	374	7,296,080	11/13/2007	Rowley et al.			
	375	7,299,361	11/20/2007	Kim et al.			

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	376	7,302,584	11/27/2007	Tarbotton et al.			
	377	7,302,706	11/27/2007	Hicks et al.			
	378	7,305,005	12/04/2007	Wu et al.			
	379	7,305,709	12/04/2007	Lymer et al.			
	380	7,308,702	12/11/2007	Thomsen et al.			
	381	7,308,706	12/11/2007	Markham et al.			
	382	7,308,712	12/11/2007	Banzhof			
	383	7,308,715	12/11/2007	Gupta et al.			
	384	7,310,817	12/18/2007	Hinchliffe et al.			
	385	7,310,818	12/18/2007	Parish et al.			
	386	7,315,801	01/01/2008	Dowd et al.			
	387	7,315,894	01/01/2008	Huntington et al.			
	388	7,325,252	01/29/2008	Bunker V et al.			
	389	7,328,234	02/05/2008	Nedbal et al.			
	390	7,334,222	02/19/2008	Keller			
	391	7,340,774	03/04/2008	Hursey et al.			
	392	7,340,775	03/04/2008	Tarbotton et al.			
	393	7,343,626	03/11/2008	Gallagher			
	394	7,346,781	03/18/2008	Cowie et al.			
	395	7,346,929	03/18/2008	Hammond			
	396	7,350,203	03/25/2008	Jahn			
	397	7,350,234	03/25/2008	Goseva-Popstojanova et al.			
	398	7,353,539	04/01/2008	Brawn et al.			
	399	7,359,962	04/15/2008	Willebeek-LeMair et al.			
	400	7,373,659	05/13/2008	Vignoles et al.			

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U.S. Patent Documents							
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	403	7,383,556	06/03/2008	Pantuso et al.			
	404	7,383,581	06/03/2008	Moore et al.			
	405	7,389,539	06/17/2008	Kouznetsov			
	406	7,391,770	06/24/2008	Taylor et al.			
	407	7,392,043	06/24/2008	Kouznetsov et al.			
	408	7,398,516	07/08/2008	Berg et al.			
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	411	7,409,593	08/05/2008	Aaron			
	412	7,409,714	08/05/2008	Gupta et al.			
	413	7,409,720	08/05/2008	Cambridge et al.			
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	416	7,412,723	08/12/2008	Blake et al.			
	417	7,415,726	08/19/2008	Kelly et al.			
	418	7,418,730	08/26/2008	Chu et al.			
	419	7,418,733	08/26/2008	Connary et al.			
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	421	7,418,737	08/26/2008	Grupe			
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	423	7,421,587	09/02/2008	Cowie et al.			
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	429	7,441,274	10/21/2008	Drew			
	430	7,451,488	11/11/2008	Cooper et al.			
	431	7,458,098	11/25/2008	Judge et al.			
	432	7,461,403	12/02/2008	Libenzi et al.			
	433	7,464,408	12/09/2008	Shah et al.			
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	441	7,516,483	04/07/2009	Brennan			
	442	7,519,994	04/14/2009	Judge et al.			
	443	7,522,531	04/21/2009	Joiner et al.			
	444	7,533,272	05/12/2009	Gordon et al.			
	445	7,536,456	05/19/2009	Williams et al.			
	446	7,536,715	05/19/2009	Markham			
	447	7,540,031	05/26/2009	Kouznetsov et al.			
	448	7,543,056	06/02/2009	McClure et al.			
	449	7,543,070	06/02/2009	Watson et al.			
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	454	7,555,776	06/30/2009	Lymer et al.			
	455	7,587,759	09/08/2009	McArdle et al.			
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	458	7,590,844	09/15/2009	Sherman et al.			
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	471	7,640,361	12/29/2009	Green et al.			
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	480	7,673,146	03/02/2010	Wiedmann et al.			
	481	7,673,150	03/02/2010	Cox et al.			
	482	7,673,242	03/02/2010	Huntington et al.			
	483	7,673,342	03/02/2010	Hursey et al.			
	484	7,673,343	03/02/2010	Barton et al.			
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Form (PTO-1449)

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Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brett M. Oliphant	
(37 CFR §1.98(b))		Filing Date 09/28/2014	Group Art Unit

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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)

Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brett M. Oliphant	
(37 CFR §1.98(b))		Filing Date 09/28/2014	Group Art Unit

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Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brett M. Oliphant	
(37 CFR §1.98(b))		Filing Date 09/28/2014	Group Art Unit

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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary)	Applicant Brett M. Oliphant	
(37 CFR §1.98(b))	Filing Date 09/28/2014	Group Art Unit

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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary)	Applicant Brett M. Oliphant	
(37 CFR §1.98(b))	Filing Date 09/28/2014	Group Art Unit

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Form (PTO-1449)

Electronic Acknowledgement Receipt	
EFS ID:	20873240
Application Number:	14499230
International Application Number:	
Confirmation Number:	9215
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Brian Dean Owens
Filer Authorized By:	
Attorney Docket Number:	SP1P0012
Receipt Date:	04-DEC-2014
Filing Date:	28-SEP-2014
Time Stamp:	22:50:36
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	SP1P0012_IDS_Cover_Sheet.pdf	112292 d92ea57c28943967733b512d65b4c513ac44a98a3	no	2
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4	Foreign Reference	FP02_JP2002366525A.pdf	1603629 40e85044017aa6d9fe3a8d7b2b282050f23 140ad	no	6
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5	Foreign Reference	FP03_WO0214987A2.pdf	3636571 3d492ad433f03fc19cbec97a83888ed0abc6 9690	no	47
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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.

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Oliphant Application No.: 14/499,230 Filed: 09/28/2014 For: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Confirmation No.: 9215 Examiner: YALEW, FIKREMARIAM A Art Unit: 2436 Atty. Docket No.: SP1P0012 Date: 12/4/2014

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.

The definitions set forth in the initial Glossary section of the present application have support in and thus have the benefit of one or more of the claimed priority applications. See also Thus, no new matter has been added as a result of the inclusion of the definitions set forth in the initial Glossary section of the present application. MPEP 2163.07. While such definitions set forth in the initial Glossary section are limiting to the present application, such definitions should not necessarily be deemed limiting in connection with any counterpart applications/patents without such definitions.

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,

/Brian Owens/

Brian Owens
Reg. No. 55,517

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/499,230	09/28/2014	Brett M. Oliphant	SP1P012	9215

127962 7590 01/08/2015

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

EXAMINER	
HERZOG, MADHURI R	

ART UNIT	PAPER NUMBER
2438	

MAIL DATE	DELIVERY MODE
01/08/2015	PAPER

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

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

ForcePoint LLC
EX-1009
Page524

Notice of References Cited	Application/Control No. 14/499,230	Applicant(s)/Patent Under Reexamination OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	Page 1 of 1

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*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
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*	B	US-2005/0235360 A1	10-2005	Pearson, Sterling Michael	726/023
*	C	US-2006/0101517 A1	05-2006	Banzhof et al.	726/025
*	D	US-7,278,163 B2	10-2007	Banzhof et al.	726/25
*	E	US-7,353,539 B2	04-2008	Brawn et al.	726/25
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	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
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	Q					
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	S					
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NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
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Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

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Page525

First Action Interview Pilot Program Pre-Interview Communication	**Application No.** 14/499,230	**Applicant(s)** OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	**Art Unit** 2438	**AIA (First Inventor to File) Status** No

-The MAILING OR NOTIFICATION DATE of this communication appears on the cover sheet with the correspondence address -

THE SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE **ONE MONTH OR THIRTY (30) DAYS,** WHICHEVER IS LONGER, FROM THE MAILING OR NOTIFICATION DATE OF THIS COMMUNICATION.

This time period for reply is extendable under 37 CFR 1.136(a) for only ONE additional MONTH.

This communication constitutes notice under 37 CFR 1.136(a)(1)(i).

Applicant must, within the time period for reply, file: (1) A letter requesting not to have a first action interview; (2) A reply under 37 CFR 1.111 waiving the first action interview and First Action Interview Office Action; or (3) An Applicant Initiated Interview Request Form (PTOL-413A) electronically via EFS-Web, accompanied by a proposed amendment or arguments, and schedule the interview within 2 months from the filing of the request. A failure to respond to this communication will be treated as a request not to have an interview. If applicant waives the First Action Interview Office Action, the instant Pre-Interview Communication is deemed the first Office Action on the Merits. The next subsequent Office action may be made final if appropriate. See MPEP 706.07(a).

Status

1)☒ Responsive to communication(s) filed on *11/12/2014*.

☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.

Disposition of Claims

2)☒ Claim(s) *3-22* is/are pending in the application.

2a) Of the above claim(s) _____ is/are withdrawn from consideration.

3)☐ Claim(s) _____ is/are allowed.

4)☒ Claim(s) ***3-22*** is/are rejected.

5)☐ Claim(s) _____ is/are objected to.

6)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

7)☒ The specification is objected to by the Examiner.

8)☒ The drawing(s) filed on *11/12/2014* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

Priority under 35 U.S.C. § 119

9)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

*See the attached detailed Office action for a list of the certified copies not received.

Contact Information

Examiner's Telephone Number: (571)270-3359

Examiner's Typical Work Schedule: M-F from 8:30am - 5:00pm

Supervisor's Name: Taghi Arani

Supervisor's Telephone Number: 571-272-3787

Attachment(s)	
1) ☒Notice of References Cited (PTO-892)	3) ☐Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
2) ☒Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date *12/04/2014*.	4) ☐ Other: _____.

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First Action Interview Pilot Program Pre-Interview Communication	Application No. 14/499,230	Applicant(s) OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	AIA (First Inventor to File) Status No

Notification of Rejection(s) and/or Objection(s)

#	Claim(s)	Reference(s) (if applicable)	Rejection Statutory Basis	Brief Explanation of Rejection
1	3-22		obviousness type Double Patenting	Claims 3-22 are analogous to claims of U.S. Patent No. 8266699. Claims 3-22 are also analogous to claims of U.S. applications: 14/499226, 14/499227 and 14/499239
2	4, 5, 6		35 U.S.C 112, 2nd	Claims use the phrase "particular" by itself. For example: claim 4 recites: "attack packet of the particular". Unclear what "particular" stands for.
3	3, 7, 16, 20	Brawn, Banzhof1, Banzhof2	103(a)	Brawn: column 3, lines 15-60, column 4, lines 42-55, column 9, line 39-column 10, line 16, column 11, column 13, line20-column 14, line 5. Banzhof1: [0020]-[0026]. Banzhof2: column 13, lines 1-17.
4	4, 5, 6, 9-15	Brawn,Banzhof1, Banzhof2 and Pearson	103(a)	Pearson: [0061]-[0063], [0069], [0082]-[0085]
5	8	Brawn,Banzhof1, Banzhof2 and McClure	103(a)	McClure: column 14, lines 37-67, column 15, lines 35-55

Expanded Discussion/Commentary

3		claim 3: Brawn teaches limitations 1-3 and 6-7 but not mitigation type. US 20030126472: Banzhof1 teaches: mitiigation type including patch, policy setting; limitation 5: selecting and the last limitation. US 7278163: Banzhof2: teaches: limitation 4: displaying.

DATE:		

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	Examiner MADHURI HERZOG	Art Unit 2438	AIA (First Inventor to File) Status No

Notification of Rejection(s) and/or Objection(s)

#	Claim(s)	Reference(s) (if applicable)	Rejection Statutory Basis	Brief Explanation of Rejection
6	17-19	Brawn,Banzhof1, Banzhof2 and Banzhof3	103(a)	Banzhof3: [0012]-[0013], [0016], [0056]
7	21	Brawn and Banzhof1	103(a)	Brawn: column 3, lines 15-60, column 4, lines 42-55, column 9, line 39-column 10, line 16, column 11, column 13, line20-column 14, line 5. Banzhof1: [0020]-[0026]
8	22	Brawn,Banzhof1, Banzhof2 and Pearson	103(a)	Brawn: column 3, lines 15-60, column 4, lines 42-55, column 9, line 39-column 10, line 16, column 11, column 13, line20-column 14, line 5. Banzhof1: [0020]-[0026]. Banzhof2: column13, lines1-17. Pearson: [0008], [0082]

Expanded Discussion/Commentary

6		US 20060101517: Banzhof3
7		claim 21: Brawn teaches limitations 1-5 but not mitigation type. US 20030126472: Banzhof1 teaches: mitiigation type including patch, policy setting; and last 2 limitations
8		Claim 22: Brawn teaches limitations 1-3, 9, 10 but not mitigation type. US 20030126472: Banzhof1 teaches: mitiigation type including patch, policy setting; and limitations 5 and 6: selecting and applying. Banzhof2 teaches: limitation 4: displaying. Pearson teaches: [0008], [0061]-[0063], [0069], [0082]-[0085]: limitations 7 and 8

DATE: 07 January, 2014	/MADHURI HERZOG/ Primary Examiner, Art Unit 2438	

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Notice of References Cited	Application/Control No. 14/499,230	Applicant(s)/Patent Under Reexamination OLIPHANT ET AL.	
	Examiner MADHURI HERZOG	Art Unit 2438	Page 1 of 1

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*	B	US-2005/0235360 A1	10-2005	Pearson, Sterling Michael	726/023
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	H	US-			
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	J	US-			
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	M	US-			

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SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
14/499,230	09/28/2014 RULE	726	2438	SP1P012

APPLICANTS

SecurityProfiling, LLC, Garland, TX, Assignee (with 37 CFR 1.172 Interest);

INVENTORS

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

**** CONTINUING DATA **************************

This application is a CIP of 14/138,014 12/21/2013
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 **
10/01/2014

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	2	1

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		
730	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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	14499230
	Filing Date	2014-09-28
	First Named Inventor	Brett M. Oliphant
	Art Unit	2436
	Examiner Name	YALEW, FIKREMARIAM A
	Attorney Docket Number	SP1P0012

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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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Receipt date: 12/04/2014	Application Number	14499230	14499230 - GAU: 2438
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	Art Unit	2436	
	Examiner Name	YALEW, FIKREMARIAM A	
	Attorney Docket Number	SP1P0012	

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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]
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	6	WO03029941	WO	A2	2003-04-10	Singleton et al.		☐
	7	WO2004086168	WO		2004-10-07	Moshir et al.		☐
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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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Receipt date: 12/04/2014	Application Number	14499230 14499230 - GAU: 2438
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99**)	Filing Date	2014-09-28
	First Named Inventor	Brett M. Oliphant
	Art Unit	2436
	Examiner Name	YALEW, FIKREMARIAM A
	Attorney Docket Number	SP1P0012

	7	"Qualys Introduces First Network Vulnerability Assessment Platform for Managed Security and Consulting Organizations," April 10, 2001, retrieved from http://www.qualys.com/company/newsroom/news-releases/usa/2001-04-10-3/	☐
	8	"Qualys Introduces New Intranet Scanner Appliance," September 30, 2002, retrieved from http://www.qualys.com/company/newsroom/news-releases/usa/2002-09-30/	☐
	9	QUALYS "CASE STUDY: Bank of the West — Major Financial Institution Protects Information Assets Through Regular Network Vulnerability Audits," July 2005, retrieved from http://www.qualys.com/docs/bank_of_west.pdf	☐
	10	GULA, Ron, "Example Lightning Deployment Scenarios," December 2002, 5 pages, retrieved from https://web.archive.org/web/20030316012821/http://www.tenablesecurity.com/example.pdf	☐
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Receipt date: 12/04/2014	Application Number	14499230 14499230 - GAU: 2438
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Filing Date	2014-09-28
(Not for submission under 37 CFR 1.99)	First Named Inventor	Brett M. Oliphant
	Art Unit	2436
	Examiner Name	YALEW, FIKREMARIAM A
	Attorney Docket Number	SP1P0012

	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 Herzog/	Date Considered	01/07/2015

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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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	First Named Inventor	Brett M. Oliphant
	Art Unit	2436
	Examiner Name	YALEW, FIKREMARIAM A
	Attorney Docket Number	SP1P0012

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	/Brian Owens/	Date (YYYY-MM-DD)	2014-12-04
Name/Print	Brian Owens	Registration Number	55,517

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. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 09/28/2014	Group Art Unit

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			
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Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	26	5,950,195	09/07/1999	Stockwell et al.			
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U.S. Patent Documents

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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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/Madhuri Herzog/	01/07/2015

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U.S. Patent Documents							
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U.S. Patent Documents

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Examiner Signature	Date Considered
/Madhuri Herzog/	01/07/2015

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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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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
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	Filing Date 09/28/2014	Group Art Unit

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	402	7,380,270	05/27/2008	Tracy et al.			
	403	7,383,556	06/03/2008	Pantuso et al.			
	404	7,383,581	06/03/2008	Moore et al.			
	405	7,389,539	06/17/2008	Kouznetsov			
	406	7,391,770	06/24/2008	Taylor et al.			
	407	7,392,043	06/24/2008	Kouznetsov et al.			
	408	7,398,516	07/08/2008	Berg et al.			
	409	7,398,517	07/08/2008	Berg et al.			
	410	7,401,359	07/15/2008	Gartside et al.			
	411	7,409,593	08/05/2008	Aaron			
	412	7,409,714	08/05/2008	Gupta et al.			
	413	7,409,720	08/05/2008	Cambridge et al.			
	414	7,412,721	08/12/2008	Torii et al.			
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	416	7,412,723	08/12/2008	Blake et al.			
	417	7,415,726	08/19/2008	Kelly et al.			
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	422	7,421,266	09/02/2008	Bruestle et al.			
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	424	7,424,744	09/09/2008	Wu et al.			
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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
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	429	7,441,274	10/21/2008	Drew			
	430	7,451,488	11/11/2008	Cooper et al.			
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	432	7,461,403	12/02/2008	Libenzi et al.			
	433	7,464,408	12/09/2008	Shah et al.			
	434	7,472,419	12/30/2008	Balasubramaniam et al.			
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	436	7,480,941	01/20/2009	Balasubramaniam et al.			
	437	7,483,861	01/27/2009	Joiner et al.			
	438	7,493,659	02/17/2009	Wu et al.			
	439	7,496,043	02/24/2009	Leong et al.			
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	442	7,519,994	04/14/2009	Judge et al.			
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	444	7,533,272	05/12/2009	Gordon et al.			
	445	7,536,456	05/19/2009	Williams et al.			
	446	7,536,715	05/19/2009	Markham			
	447	7,540,031	05/26/2009	Kouznetsov et al.			
	448	7,543,056	06/02/2009	McClure et al.			
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	450	7,543,329	06/02/2009	Viets et al.			

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	472	7,640,586	12/29/2009	Johnson et al.			
	473	7,644,352	01/05/2010	Grupe			
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	475	7,664,845	02/16/2010	Kurtz et al.			

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	477	7,668,947	02/23/2010	Hutchinson et al.			
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	479	7,673,043	03/02/2010	Keir et al.			
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	481	7,673,150	03/02/2010	Cox et al.			
	482	7,673,242	03/02/2010	Huntington et al.			
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	495	7,721,110	05/18/2010	Kouznetsov et al.			
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	497	7,757,293	07/13/2010	Caceres et al.			
	498	7,757,361	07/20/2010	Edwards et al.			
	499	7,761,605	07/20/2010	Rothwell et al.			
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	502	7,783,545	08/24/2010	Sloan et al.			
	503	7,788,705	08/31/2010	Bruestle et al.			
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	505	7,793,346	09/07/2010	Daub			
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	507	7,801,980	09/21/2010	Roesch et al.			
	508	7,810,091	10/05/2010	Gartside et al.			
	509	7,818,739	10/19/2010	Cox et al.			
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	518	7,861,285	12/28/2010	Ashoff et al.			
	519	7,861,303	12/28/2010	Kouznetsov et al.			
	520	7,865,938	01/04/2011	Shahbazi			
	521	7,865,956	01/04/2011	Cambridge et al.			
	522	7,870,203	01/11/2011	Judge et al.			
	523	7,882,555	02/01/2011	Ben-Itzhak			
	524	7,895,641	02/22/2011	Schneier et al.			
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	528	7,917,444	03/29/2011	Bursch			
	529	7,917,647	03/29/2011	Cooper et al.			
	530	7,917,951	03/29/2011	Tarbotton et al.			
	531	7,921,459	04/05/2011	Houston et al.			
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	543	8,020,211	09/13/2011	Keanini et al.			
	544	8,024,076	09/20/2011	Schlueter et al.			
	545	8,042,149	10/18/2011	Judge			
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	547	8,042,181	10/18/2011	Judge			
	548	8,051,479	11/01/2011	Bu et al.			
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	554	8,090,816	01/03/2012	Deshmukh et al.			
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	557	8,115,769	02/14/2012	Lymer et al.			
	558	8,117,273	02/14/2012	Mathur et al.			
	559	8,121,892	02/21/2012	Baggett Jr. et al.			
	560	8,122,498	02/21/2012	Gordon et al.			
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	563	8,132,250	03/06/2012	Judge et al.			
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	587	8,380,791	02/19/2013	Gordon et al.			
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	593	8,468,256	06/18/2013	McArdle et al.			
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	607	8,578,480	11/05/2013	Judge et al.			
	608	8,615,582	12/24/2013	McClure et al.			
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	624	8,782,260	07/15/2014	Taylor et al.			
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	627	2001/0027388	10/04/2001	Beverina Anthony et al.			
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	629	2001/0028268	10/11/2001	Shuler Robert L. JR.			
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	632	2001/0042004	11/15/2001	Taub Herman P.			
	633	2001/0043778	11/22/2001	Griffis Jeffrey A. et al.			
	634	2002/0026591	02/28/2002	Hartley Bruce V. et al.			
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	642	2002/0109963	08/15/2002	Aoki Russell S. et al.			
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	646	2002/0137991	09/26/2002	Scarantino Charles W. et al.			
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Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 09/28/2014	Group Art Unit

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	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

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

Examiner Initial	Desig. ID	Document
	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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(37 CFR §1.98(b))	Filing Date 09/28/2014	Group Art Unit

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	5	Mark Joseph Edwards, "Useful SPQuery 3.0 automates finding, installing hotfixes," in InfoWorld, June 21, 1999, www.infoworld.com/cgi-bin/displayArchive.pl?/99/25/c04-25.46.htm
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	16	U.S. Provisional Application No. 60/234,680, filed September 22, 2000
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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L10	2	"8266699"	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 12:04
L11	290	(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$4) with (operating system or os)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 14:53
L12	43	726/1,11-14,22-25.ccls. and L11	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 14:53
L13	24	"709"/$.ccls. and L11	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 14:56
L14	48	"726"/$.ccls. and L11	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 14:57
L15	72	(stor$4 or database or data$2warehouse or record$4 or sav$4) 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) with (operating system or os)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 14:58
L16	0	(receiv$4 or get$4 or obtain$4 or acquir$4 or procur$4) with (operating system or os) near5 (identity or type or identification or id or identifier or kind or class or category or variety) same (identify$4 or identification or recogni$4 or select$4 or choos$4 or pick$4) 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) with (operating system or os)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 15:05
L17	0	(receiv$4 or get$4 or obtain$4 or acquir$4 or procur$4) with (operating system or os) near5 (identity or type or identification or id or identifier or kind or class or category or	US-PGPUB; USPAT; USOCR;	ADJ	ON	2015/01/07 15:06

		variety) and (identify$4 or identification or recogni$4 or select$4 or choos$4 or pick$4) 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) with (operating system or os)	EPO; JPO; DERWENT			
L18	6	(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) with (operating system or os) near5 (identity or type or identification or id or identifier or kind or class or category or variety)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 15:17
L19	104	(mitigat$4 or remediat$4) with (operating system or os) near5 (identity or type or identification or id or identifier or kind or class or category or variety)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/07 15:21
S1	3	"10882852"	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2014/12/30 15:49
S2	203	("20010034847" | "20020013811" | "20020026591" | "20020104014" | "20020112179" | "20020199122" | "20030005178" | "20030014669" | "20030037601" | "20030061506" | "20030084320" | "20030126472" | "20030135749" | "20030145228" | "20040030778" | "20040054764" | "20040088565" | "20040103310" | "20040117640" | "20040243603" | "20050010819" | "20050015382" | "20050033988" | "20050222969" | "20050235360" | "20060265708" | "20070016659" | "5008814" | "5253932" | "5335346" | "5683638" | "5765153" | "5892903" | "5991881" | "6005942" | "6044466" | "6074727" | "6131163" | "6185689" | "6219786" | "6282546" | "6298445" | "6321334" | "6324656" | "6345361" | "6418554" | "6473800" | "6526513" | "6754896" | "6816896" | "6952779" | "6957348" | "6966059" | "6990591" | "7000247" | "7010696" | "7051097" | "7051365" | "7073198" | "7076801" | "7080141" | "7159237" | "7178144" | "7181769" | "7216343" | "7228566" | "7240193" | "7249187" | "7278163" | "7308712" | "7315801" | "7353539" | "7424706" | "7458098" | "7509676" | "7519954" | "7519994" | "7536456" | "7562388" | "7574740" | "7594273" | "7624422" | "7627891" | "7673043" | "7698275" | "7761920" | "7779468" | "7827607" | "7836501" | "7882555" | "7913303" | "7954159" | "8091117" | "8121874" | "8135823" | "8135830" | "8181173" | "8185930").PN.	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2014/12/31 10:29
S3	54	"6766458"	US-	ADJ	ON	2015/01/05

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			PGPUB; USPAT; USOCR; EPO; JPO; DERWENT			11:13
S4	83	"7073198"	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/05 11:16
S5	1	"13906902"	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/05 11:39
S6	61	(user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4) with (mitigat$4 or remediat$4) with (intrusion near3 (detection or prevention) or IDS or IPS)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 14:34
S7	8	726/1,22-25.ccls. and S6	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 14:35
S8	1	726/11-14.ccls. and S6	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 14:35
S9	43	(user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4) with (mitigat$4 or remediat$4) with (intrusion near3 (detection or prevention) or IDS)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 14:47
S10	16	(user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4) with (mitigat$4 or remediat$4) with (intrusion near3 (detection or prevention))	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 14:53
S11	27	(user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4) with (mitigat$4 or remediat$4) and (mitigat$4 or remediat$4) with intrusion near3 (detection or prevention)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 15:03
S12	615	(detect$4 or discover$4 or find$4 or uncover$4 or identify$4 or identification) with (attack or intrusion or (malware or malicious or virus or worm or spyware or pestware or trojan) near5 (traffic or packet)) and (user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4 or apply$4	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 15:36

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EX-1009
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		or application) with intrusion near3 (detection or prevention)				
S13	593	(detect$4 or discover$4 or find$4 or uncover$4 or identify$4 or identification) with (attack or intrusion or (malware or malicious or virus or worm or spyware or pestware or trojan) near5 (traffic or packet)) same (user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4 or apply$4 or application) with intrusion near3 (detection or prevention)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 15:36
S14	168	(detect$4 or discover$4 or find$4 or uncover$4 or identify$4 or identification) with (attack or intrusion or (malware or malicious or virus or worm or spyware or pestware or trojan) near5 (traffic or packet)) same (user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4 or apply$4) with intrusion near3 (detection or prevention)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 15:36
S15	58	726/1,11-14,22-25.ccls. and S14	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 15:37
S16	141	(detect$4 or discover$4 or find$4 or uncover$4 or identify$4 or identification) with (attack or intrusion or (malware or malicious or virus or worm or spyware or pestware or trojan) near5 (traffic or packet)) and (user or client or subscriber or customer or administrat$4 or operator) with (select$4 or choos$4 or pick$4) with (mitigat$4 or remediat$4)	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 16:41
S17	66	726/1,11-14,22-25.ccls. and S16	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT	ADJ	ON	2015/01/06 16:42

EAST Search History (Interference)

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1/7/2015 4:53:32 PM
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Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Brett M. Oliphant	
		Filing Date 09/28/2014	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
	9	Office Action Summary in US Pat. App. No. 10/882,588 dated 09/26/2007
	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
	13	Office Action Summary in US Pat. App. No. 10/882,788 dated 07/10/2008
	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

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)

Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 09/28/2014	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	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.

Form (PTO-1449)

Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SP1P0012	Application No. 14/499,230
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	Applicant Brett M. Oliphant	
	Filing Date 09/28/2014	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	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.	

Form (PTO-1449)

Electronic Acknowledgement Receipt	
EFS ID:	21221695
Application Number:	14499230
International Application Number:	
Confirmation Number:	9215
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Brian Dean Owens
Filer Authorized By:	
Attorney Docket Number:	SP1P012
Receipt Date:	15-JAN-2015
Filing Date:	28-SEP-2014
Time Stamp:	15:56:08
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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Information:					

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Information:					
		Total Files Size (in bytes):	16720465		

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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.

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Oliphant Application No.: 14/499,230 Filed: 09/28/2014 For: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Confirmation No.: 9215 Examiner: YALEW, FIKREMARIAM A Art Unit: 2436 Atty. Docket No.: SP1P0012 Date: 1/15/2015

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.

Per MPEP 609.02, applicant has not re-submitted all of the disclosures, references, etc. cited in any parent application(s)/patent(s). It is assumed that, per such 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 references, etc., applicant requests that the Examiner contact the undersigned so that applicant can address the

same. 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 due in connection with the filing of this Information Disclosure Statement.

Respectfully submitted,

/Brian Owens/

Brian Owens
Reg. No. 55,517

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Doc Code: DIST.E.FILE **Document Description: Electronic Terminal Disclaimer - Filed**	PTO/SB/25 PTO/SB/26 U.S. Patent and Trademark Office Department of Commerce

Electronic Petition Request	**TERMINAL DISCLAIMER TO OBVIATE A PROVISIONAL DOUBLE PATENTING REJECTION OVER A PENDING "REFERENCE" APPLICATION AND TERMINAL DISCLAIMER TO OBVIATE A DOUBLE PATENTING REJECTION OVER A "PRIOR" PATENT**
Application Number	14499230
Filing Date	28-Sep-2014
First Named Inventor	Brett Oliphant
Attorney Docket Number	SP1P012
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) of 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 any patent granted on pending reference Application Number(s)

14499239 filed on 09/29/2014

14499227 filed on 09/28/2014

14499226 filed on 09/28/2014

as the term of any patent granted on said reference application may be shortened by any terminal disclaimer filed prior to the grant of any patent on the pending reference application. 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 any patent granted on the reference application 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 any patent granted on the instant application that would extend to the expiration date of the full statutory term of any patent granted on said reference application, "as the term of any patent granted on said reference application may be shortened by any terminal disclaimer filed prior to the grant of any patent on the pending reference application," in the event that any such patent granted on the pending reference application: 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 shortened by any terminal disclaimer filed prior to its grant.

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.

Applicants 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 55517

( ) 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	/Brian Owens/

Name	Brian Owens

*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:	14499230
Filing Date:	28-Sep-2014
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Filer:	Brian Dean Owens
Attorney Docket Number:	SP1P012

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	1814	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.: 14499230

Filing Date: 28-Sep-2014

Applicant/Patent under Reexamination: Oliphant et al.

Electronic Terminal Disclaimer filed on January 30, 2015

☒ 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:	21360124
Application Number:	14499230
International Application Number:	
Confirmation Number:	9215
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Brian Dean Owens
Filer Authorized By:	
Attorney Docket Number:	SP1P012
Receipt Date:	30-JAN-2015
Filing Date:	28-SEP-2014
Time Stamp:	15:50:29
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	$160
RAM confirmation Number	2544
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	Electronic Terminal Disclaimer-Filed	eTerminal-Disclaimer.pdf	37738 c1e53b8cc7fac69904d876c98752ca1a5c15b2f9	no	3
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30393 5e8b0c92cc07e9a4d0a2de48c923870bd6b67cca	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	68131		

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: Oliphant Application No.: 14/499,230 Filed: 09/28/2014 For: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Confirmation No.: 9215 Examiner: HERZOG, MADHURI R. Art Unit: 2436 Atty. Docket No.: SP1P0012 Date: 1/30/2015

AMENDMENT(S)/ARGUMENT(S) IN RESPONSE TO FIRST ACTION INTERVIEW PILOT POGRAM PRE-INTERVIEW COMMUNICATION

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

Dear Sir:

Following are amendment(s)/argument(s) in response to the First Action Interview Pilot Program Pre-Interview Communication mailed January 8, 2015.

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AMENDMENT TO CLAIMS

1-2. (Cancelled)

3. (Currently Amended) A computer program product embodied on a non-transitory computer readable medium, the computer program product comprising:

code for:

accessing at least one data storage identifying a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities, such that:

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;

code for:

displaying at least one mitigation technique in connection with at least one vulnerability to be applied as an attack response, and

receiving user input for selecting the at least one mitigation technique in connection with the at least one vulnerability; and

code for:

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

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identifying an [[particular]] attack in connection with the at least one device that takes advantage of the at least one vulnerability, based on the information;

wherein the computer program product is operable such that, as a result of the user input for selecting the at least one mitigation technique in connection with the at least one vulnerability, the [[particular]] attack is prevented from taking advantage of the at least one vulnerability;~~, while there is no update at the at least one of the device that removes the at least one vulnerability from the at least one device~~

wherein the computer program product is operable such that one or more of the plurality of mitigation techniques is identified based on an identification of an operating system.

4. (Previously Presented) The computer program product of Claim 3, wherein the computer program product is operable such that the displayed at least one mitigation technique includes at least two mitigation techniques include a firewall option for preventing at least one attack packet of the particular by terminating or dropping the same, and an intrusion detection or prevention option for preventing a connection request; the computer program product is further operable such that, in response to user input received prior to the particular, 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 computer program product is further operable such that, in response to additional user input after the particular 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 for preventing the connection request at the particular single device.

5. (Previously Presented) The computer program product of Claim 3, wherein the computer program product is operable such that the displayed at least one mitigation technique includes at least two mitigation techniques include a firewall option for preventing at least one attack packet of the particular by terminating or dropping the

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same, and an intrusion detection or prevention option for preventing a connection request; the computer program product is further operable such that, in response to user input prior to the particular in connection, the intrusion detection or prevention option is capable of being applied to a plurality of different devices for preventing the connection request at the plurality of different devices; and the computer program product is further operable such that, in response to user input after the particular 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.

6. (Previously Presented) The computer program product of Claim 3, wherein the computer program product is operable such that the at least one vulnerability is identified as a function of at least one of an operating system or an application identified in connection with a device, so that, in order to avoid false positives, only 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 particular.

7. (Previously Presented) The computer program product of Claim 3, wherein the computer program product is operable such that which of the mitigation techniques that are displayed are based on actual vulnerabilities to which the at least one device is actually vulnerable so that only relevant mitigation techniques are displayed for selection by the user for real-time attack mitigation.

8. (Previously Presented) The computer program product of Claim 3, wherein the computer program product is operable such that the at least one vulnerability is identified as a function of at least one of an operating system or an application identified in connection with the at least one device and the at least one mitigation technique is specific to the at least one vulnerability, so that only relevant one or more vulnerabilities prompt selection of relevant one or more mitigation techniques by the user for application.

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9. (Previously Presented) The computer program product of Claim 3, wherein the computer program product is operable such that the user input is capable of being received via at least one user interface 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 a presence of at least one of an operating system or an application.

10. (Currently Amended) The computer program product of Claim 3, wherein the computer program product is operable such that the displayed at least one mitigation technique includes at least two mitigation techniques including a first mitigation technique that utilizes a firewall action for at least mitigating the [[particular]] attack that takes advantage of the at least one vulnerability and a second mitigation technique that utilizes an intrusion prevention action for at least mitigating the [[particular]] attack that takes advantage of the at least one vulnerability.

11. (Previously Presented) The computer program product of Claim 10, wherein the computer program product is operable such that different user input is capable of being received via at least one console for different devices, for allowing different mitigation techniques including the first mitigation technique and the second mitigation technique to be selectively applied by the user to the different devices for different actual vulnerabilities.

12. (Previously Presented) The computer program product of Claim 10, wherein the computer program product is operable such that different user input is capable of being received via at least one console for different devices, for allowing different mitigation techniques including the first mitigation technique and the second mitigation technique to be selectively applied by the 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

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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.

13. (Currently Amended) The computer program product of Claim 10, wherein the computer program product is operable such that the displayed at least one mitigation technique further includes a third mitigation technique that utilizes a policy compliance action for at least mitigating the [[particular]] attack that takes advantage of the at least one vulnerability, wherein the computer program product is operable such that different user input is capable of being received via at least one console 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 the 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, both the first mitigation technique and the second mitigation technique being selectively applied by the user to at least one third device, and the third mitigation technique being selectively applied by the user to the at least one first device, the at least one second device, and the at least one third device.

14. (Previously Presented) The computer program product of Claim 10, wherein the computer program product is operable such that the first mitigation technique is automatically applied utilizing a first communication from a server to firewall-supporting client code, and the second technique is automatically applied utilizing a second communication from the server to intrusion prevention system-supporting client code, where the firewall-supporting client code and the system-supporting client code are part of the same client agent.

15. (Previously Presented) The computer program product of Claim 10, wherein the computer program product is operable such that the first mitigation technique and the

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second technique are automatically applied by sending at least one encrypted communication from a server to an intrusion prevention system-supporting and firewall-supporting client code associated with the same single platform.

16. (Previously Presented) The computer program product of Claim 3, wherein the computer program product is operable such that the information is capable of being used to determine a characterization of a payload.

17. (Cancelled)

18. (Currently Amended) The computer program product of Claim [[17]]3, wherein the computer program product is operable such that such that the [[particular]] attack is prevented from taking advantage of the at least one vulnerability which includes an actual vulnerability of the at least one device related to the operating system thereof.

19. (Currently Amended) The computer program product of Claim 18, wherein the computer program product is operable such that the identification of the operating system ~~of the at least one device~~ is received as a result of a vulnerability assessment scan.

20. (Previously Presented) The computer program product of Claim 3, wherein at least one of:

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

said at least one data storage is accessed by 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;

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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 computer program product is operable 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 technique; and wherein the computer program product is operable for determining which devices have vulnerabilities by directly querying a firmware or operating system of the devices.

21. (Currently Amended) A computer program product embodied on a non-transitory computer readable medium, the computer program product comprising:

code for:

accessing at least one data structure identifying a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities, such that:

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;

code for:

receiving information in connection with at least one of a plurality of devices; and

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

code for:

automatically applying 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, in response to the attack for mitigating the attack;

wherein the computer program product is operable such that the attack is mitigated by preventing the attack from taking advantage of the at least one vulnerability;~~, while there is no update at the at least one of the device that removes the at least one vulnerability from the at least one device~~

wherein the computer program product is operable such that one or more of the plurality of mitigation techniques is identified based on an identification of an operating system.

22. (Currently Amended) A computer program product embodied on a non-transitory computer readable medium, the computer program product comprising:

at least one data storage identifying a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities associated with an operating system identified in connection with at least one of a plurality of devices, such that:

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

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

code for:

displaying at least two of the mitigation techniques in connection with at least one vulnerability, and

receiving at least one user input in connection with the at least two mitigation techniques;

code for:

automatically applying the at least two mitigation techniques based on the user input, the at least two mitigation techniques including:

at least one first mitigation technique for utilizing a firewall for attack mitigation, and

at least one second mitigation technique for utilizing an intrusion prevention system for attack mitigation; and

code for:

receiving information in connection with the at least one device, and

identifying an [[particular]] attack in connection with the at least one device that takes advantage of the at least one vulnerability, based on the information;

wherein the computer program product is operable such that the attack is mitigated utilizing the first mitigation technique for utilizing the firewall for attack

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mitigation and the at least one second mitigation technique for second mitigation technique for utilizing the intrusion prevention system for attack mitigation~~, regardless of whether there is no update at the at least one of the device that removes the at least one vulnerability from the at least one device~~;

wherein the computer program product is operable such that one or more of the plurality of mitigation techniques is identified based an identification of an operating system.

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REMARKS

Under Obviousness Type Double Patenting, the Examiner has indicated that "Claims 3-22 are analogous to claims of U.S. Patent No. 8266699" and "Claims 3-22 are also analogous to claims of U.S. applications: 14/499226, 14/499227 and 14/499239." Such rejections are moot in view of the terminal disclaimer submitted herewith.

Under 35 U.S.C. 112, 2nd paragraph, the Examiner has further indicated that the 'Claims use the phrase "particular" by itself. For example: claim 4 recites: "attack packet of the particular". Unclear what "particular" stands for.' Applicant respectfully disagrees. Nevertheless, in the spirit of expediting prosecution, such rejection has been avoided by virtue of the clarifications made to the claims hereinabove.

Under 35 U.S.C. 103(a), the Examiner has further indicated that, with respect to Claim 3, "Brawn: column 3, lines 15-60, column 4, lines 42-55, column 9, line 39-column 10, line 16, column 11, column 13, line20-column 14, line 5. Banzhof1: [0020]-[0026]. Banzhof2: column 13, lines 1-17." and "Brawn teaches limitations 1-3 and 6-7 but not mitigation type. US 20030126472: Banzhof1 teaches: mitigation type including patch, policy setting; limitation 5: selecting and the last limitation. US 7278163: Banzhof2: teaches: limitation 4: displaying." With respect to Claim 21, the Examiner has further indicated that "Brawn: column 3, lines 15-60, column 4, lines 42-55, column 9, line 39-column 10, line 16, column 11, column 13, line20·column 14, line 5. Banzhof1: [0020]-[0026]." With respect to Claim 22, the Examiner has further indicated that "Brawn: column 3, lines 15-60, column 4, lines 42-55, column 9, line 39-column 10, line 16, column 11, column 13, line20-column 14, line 5. Banzhof1: [0020]-[0026]. Banzhof2: column13, lines1-17. Pearson: [0008], [0082]." Still yet, with respect to Claim 17-19, the Examiner has further indicated that "Banzhof3: [0012]·[0013], [0016], [0056]."

Applicant respectfully disagrees with these rejections, particularly in view of the incorporation of at least a portion of the subject matter of Claim 17 into each of the independent claims.

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With respect to the Banzhof2 reference (US 7278163), such reference indicates that it has an earliest effective filing date of "**February 22, 2005**." Still yet, with respect to the Banzhof3 reference (US 20060101517), such reference indicates that it has an earliest effective filing date of "**October 28, 2004**." It should be noted, however, that the instant application claims priority as follows:

> "This application is a continuation-in-part (for the purposes of providing a glossary in accordance with the Glossary Pilot Program) of U.S. App. No.: 14/138,014 filed December 21, 2013 which, in turn, is a continuation of U.S. App. No.: 10/882,852 filed July 1, 2004 which, in turn, claims priority to U.S. App. No.: 60/484,085 filed July 1, 2003, which are all incorporated herein by reference in their entirety for all purposes."

Applicant therefore respectfully disagrees with the propriety of Examiner's reliance on the Banzhof2 and Banzhof3 references. In view of the foregoing, the above rejections are deemed to have been overcome.

Still yet, with respect to the Examiner's reliance on the Brawn reference (US 7353539), applicant respectfully disagrees with the propriety of Examiner's reliance on such reference, as well. As shown by the attached Declaration of John Blignaut Under 37 CFR § 1.131, the claimed invention was conceived and reduced to practice prior to the effective date of the Brawn reference. This fact excludes the Brown reference from the body of prior art under 35 USC § 102(e). In view of such declaration and supporting evidence, the foregoing rejections are deemed to have been overcome.

It is believed that all of the pending issues have been addressed. 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.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Oliphant Application No.: 14/499,230 Filed: 09/28/2014 For: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Confirmation No.: 9215 Examiner: HERZOG, MADHURI R. Art Unit: 2436 Atty. Docket No.: SP1P0012 Date: 1/29/2015

DECLARATION OF JOHN BLIGNAUT UNDER 37 CFR § 1.131

I, John Blignaut, declare the following:

1. I am John Blignaut, member of SecurityProfiling, LLC ("Assignee"), the assignee of the patent application identified above (the "Application"), and an inventor named on the Application.

2. I have personal knowledge of the facts set forth in this Declaration regarding the conception and reduction to practice of the invention described and claimed in the Application.

3. The invention disclosed and claimed in the Application (the "Claimed Invention") was conceived of and actually reduced to practice before January 16, 2003 (the filing date of U.S. Patent No. 7,353,539 by Brawn et al., the "Reference Date").

4. The Claimed Invention was implemented with a system architecture that is reflected in the SDK White Paper attached as Annex A to this Declaration. The SDK White Paper documents the Software Development Kit (SDK) that was developed to allow application developers to

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access the database of vulnerability, device status, and remediation information that was eventually distributed under the trade name "AntiVulnerability Technology." I personally participated in development of that SDK White Paper and commercialization of products embodying the invention. The version of the SDK White Paper attached as Annex A was created on October 15, 2002, as a business record created in the ordinary course of business. The metadata in the electronic document reflects this date.

5. Similarly, a white paper was created for the Anti-Vulnerability Technology product line entitled "'What is Anti-Vulnerability Technology?' ("AVT Paper"), which is attached as Annex B to this Declaration. Metadata in this electronic document reflects its creation on November 27, 2002. This AVT Paper documented how the overall system operated, including various application of the technology that reflect possession of the invention.

6. A working version of a system implementing the Claimed Invention was implemented before the Reference Date. The documents in Annexes A and B reflect a system that was actually operational as of the dates of those documents, both of which are not antedated by the Reference Date.

7. I provide these statements under penalty of perjury pursuant to 18 U.S.C. §1001.

/John Blignaut/ 1.29.15

John Blignaut Date

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Page618

Electronic Acknowledgement Receipt	
EFS ID:	21361301
Application Number:	14499230
International Application Number:	
Confirmation Number:	9215
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Brian Dean Owens
Filer Authorized By:	
Attorney Docket Number:	SP1P012
Receipt Date:	30-JAN-2015
Filing Date:	28-SEP-2014
Time Stamp:	16:21:10
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	First Action Interview - Schedule Interview request	SP1P0012_Interview_Req_Form_PTOL4313A_1_30_2015.pdf	421924 cc3932806e1e025b594eb7a0e7397e635e1a047ad	no	3

Warnings:
Information:

2	Reply under 1.111 to Pre-Interview Communication	SP1P0012_Amendment_A_1_30_2015.pdf	164444 4439a94384cc1b73a571e39852dfb36ea15f871d3	no	13
Warnings:					
Information:					
3	Affidavit-Rule 131-pre-AIA (FTI) ONLY	SP1P0012_Affidavit_Signed.pdf	113028 1b86852d9b74a1fb128a123084cdcfdc7fb60fb7	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	699396		

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: M865 or FAI.REQ.INTV

PTOL-413A (08-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Applicant Initiated Interview Request Form

Application No.: 14/499,230 First Named Applicant: Brett M. Oliphant
Examiner: Herzog, Madhuri R. Art Unit: 2436 Status of Application: Pre-Interview Communication Mailed

Tentative Participants:
(1) Madhuri Herzog (2) Brian Owens
(3) _____ (4) _____

Proposed Date of Interview: 2/4/15 **Proposed Time:** 11:00 AM EST **(AM/PM)**

Type of Interview Requested:
(1) [✓] Telephonic (2) [ ] Personal (3) [ ] Video Conference

Exhibit To Be Shown or Demonstrated: [✓] YES [ ] NO
If yes, provide brief description: Proposed Amendments/Arguments

Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) Dbl. Pat.	3-22		[ ]	[ ]	[ ]
(2) 112 Rej.	4, 5, 6		[ ]	[ ]	[ ]
(3) 103 Rej.	3-22	Brawn, Banhoft, 2, 3 Pearson, Mclure	[ ]	[ ]	[ ]
(4)			[ ]	[ ]	[ ]

[ ] Continuation Sheet Attached [✓] Proposed Amendment or Arguments Attached

Brief Description of Arguments to be Presented: See Attached

An interview was conducted on the above-identified application on _____

NOTE: This form should be completed and filed by applicant in advance of the interview (see MPEP § 713.01). If this form is signed by a registered practitioner not of record, the Office will accept this as an indication that he or she is authorized to conduct an interview on behalf of the principal (37 CFR 1.32(a)(3)) pursuant to 37 CFR 1.34. This is not a power of attorney to any above named practitioner. See the Instruction Sheet for this form, which is incorporated by reference. By signing this form, applicant or practitioner is certifying that he or she has read the Instruction Sheet. After the interview is conducted, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible. This application will not be delayed from issue because of applicant's failure to submit a written record of this interview.

/Brian Owens/
Applicant/Applicant's Representative Signature

Examiner/SPE Signature

Brian Owens
Typed/Printed Name of Applicant or Representative

55,517
Registration Number, if applicable

This collection of information is required by 37 CFR 1.133. 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 24 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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

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Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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Instruction Sheet for:
APPLICANT INITIATED INTERVIEW REQUEST FORM

(Not to be Submitted to the USPTO)

1. If this form is signed by a registered practitioner not of record, the authority to submit the Applicant Initiated Interview Request Form is pursuant to limited authority to act in a representative capacity under 37 CFR 1.34 and further proof of authority to act in a representative capacity may be required. *See* 37 CFR 1.34.

   The Office will accept the signed form as an indication that the registered practitioner not of record is authorized to conduct an interview on behalf of the principal in pursuant to 37 CFR 1.34.

   For more information, see the "Conducting an Interview with a Registered Practitioner Acting in a Representative Capacity" notice which is available on the USPTO Web site at: http://www.uspto.gov/patents/law/notices/2010.jsp.

2. This is not a power of attorney to any named practitioner. Accordingly, any registered practitioner not of record named on the form does not have authority to sign a request to change the correspondence address, a request for express abandonment, a disclaimer, a power of attorney, or other document requiring the signature of the applicant, assignee of the entire interest or an attorney of record. If appropriate, a separate power of attorney to the named practitioner should be executed and filed in the US Patent and Trademark Office.

3. Any interview concerning an unpublished application under 35 U.S.C. § 122(b) with a registered practitioner not of record, pursuant to 37 CFR 1.34, will be conducted based on the information and files supplied by the practitioner in view of the confidentiality requirements of 35 U.S.C. § 122(a).

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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Oliphant Application No.: 14/499,230 Filed: 09/28/2014 For: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Confirmation No.: 9215 Examiner: HERZOG, MADHURI R. Art Unit: 2436 Atty. Docket No.: SP1P0012 Date: 1/29/2015

DECLARATION OF JOHN BLIGNAUT UNDER 37 CFR § 1.131

I, John Blignaut, declare the following:

1. I am John Blignaut, member of SecurityProfiling, LLC ("Assignee"), the assignee of the patent application identified above (the "Application"), and an inventor named on the Application.

2. I have personal knowledge of the facts set forth in this Declaration regarding the conception and reduction to practice of the invention described and claimed in the Application.

3. The invention disclosed and claimed in the Application (the "Claimed Invention") was conceived of and actually reduced to practice before January 16, 2003 (the filing date of U.S. Patent No. 7,353,539 by Brawn et al., the "Reference Date").

4. The Claimed Invention was implemented with a system architecture that is reflected in the SDK White Paper attached as Annex A to this Declaration. The SDK White Paper documents the Software Development Kit (SDK) that was developed to allow application developers to

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access the database of vulnerability, device status, and remediation information that was eventually distributed under the trade name "AntiVulnerability Technology." I personally participated in development of that SDK White Paper and commercialization of products embodying the invention. The version of the SDK White Paper attached as Annex A was created on October 15, 2002, as a business record created in the ordinary course of business. The metadata in the electronic document reflects this date.

5. Similarly, a white paper was created for the Anti-Vulnerability Technology product line entitled "'What is Anti-Vulnerability Technology?' ("AVT Paper"), which is attached as Annex B to this Declaration. Metadata in this electronic document reflects its creation on November 27, 2002. This AVT Paper documented how the overall system operated, including various application of the technology that reflect possession of the invention.

6. A working version of a system implementing the Claimed Invention was implemented before the Reference Date. The documents in Annexes A and B reflect a system that was actually operational as of the dates of those documents, both of which are not antedated by the Reference Date.

7. I provide these statements under penalty of perjury pursuant to 18 U.S.C. §1001.

/John Blignaut/ 1.29.15

John Blignaut Date

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Annex A

Anti-Vulnerability™

Software Development Kit (SDK)

White Paper

Version 1.0

The Intelligent Network Security Integration Platform

SecurityProfiling Inc.
839 Main St., Suite 405
Lafayette, JN 47901
Toll Free: 888.645.3676
Phone: 765.420.7227

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What is the SOK and Anti-Vulnerability™ Platform?

The SOK was designed to be a simple integration pathway to the back-end Anti-Vulnerability™ platform -consisting of a logic engine and vulnerability data warehouse. It will enable any network security product such as an IDS, scanner, or firewall to intelligently reference and share the same vulnerability data set, and provide complete vulnerability remediation functionalities. Thereby, improving system accuracy and efficiencies, minimizing false positives and false negatives, and providing policy compliance and enforcement capabilities.

Market Requirements

The latest network compromises are combining qualities of viruses, worms, and direct compromise attacks into new blended attacks and may utilize metamorphic or polymorphic abilities to change their signatures to avoid detection.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional point products layered at the perimeter and to internal network machines and devices.

However, the point products rely on signatures or anomalies, producing an ever-increasing quantity of data, including false positive and false negatives. They also lack the intelligence to identify, reference, or remediate the vulnerabilities targeted by the attack. Furthermore, the cost of the acquiring, managing, and maintaining numerous point products is overwhelming the end user.

Therefore, a more sophisticated, intelligent technology is needed to resolve these issues.

Solution

SecurityProfiling now offers an intelligent integration platform and SDK -the first Anti-Vulnerability™ technology to meet market requirements.

Functional Description

1. Integrates point products and provides system intelligence. The same vulnerability data warehouse information is shared with the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability ta rgeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned accurately indicating ifthe machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

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4. **Proactively remediates the vulnerability.** Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

Functionalities Integrated with the SOK

Functionalities that may be inegrated into point products with the SOK:

1. Group Management Functions
2. Client Management Functions
3. Update Management Functions
4. Polling Management Functions
5. Vulnerability Query Functions
6. Conversion Functions

Detailed descriptions are provided in Appendix I, and the SOK User's Guide.

SOK Applications - Example Product Integration

Examples of additional functionalities that may be integrated into point products via the SOK for enterprise and small office home.office (SOHO) network applications:

1. Patch Deployment Remotely remediates network vulnerabilities and provides policy compliance and enforcement capabilities. See *SecurityProfiling 's* SysUpdate™ white paper and trial download online. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix upgrades.

2. IDS Eliminates false positives and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities.

3. Scanner Eliminates false positive and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities.

4. Firewall – Eliminates false positive and false negatives, preventing the security system from denying valid traffic to the organization – self-inflicted denial of service attacks • and adds vulnerability remediation, and policy compliance and enforcement functionalities.

5. Vulnerability Management Same as L, above.

6. Multiple Products: IDS, Scanner, and Firewall Each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats.

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7. Client Security – Attain the additional functionalities and benefits, as the multiple products listed above, yet are even more effective since they additionally communicate and share information directly with each other. They will also · attain vulnerability identification, reference, remediation, and policy compliance and enforcement capabilities. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix upgrades.

8. Change Management – Will automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and automatically provide all necessary documentation and Jogging required.

Lastly, the Anti-Vulnerability platform may also provide product upgrades and signature updates to each of these various security products.

Components

The Anti-VulnerabilityTM platform is comprised of the platform software components: SDK, Client Agent, Logic Engine, and Data Warehouse. Network Operations Center (NOC) Servers periodically synchronize the customers' servers with the latest vulnerability and update data. Please reference the Platform Component Diagram on page 9.

System Requirements

There are two system requirements: TCP/IP connectivity, and supported network machines and devices. Platforms supported are:

- All Windows Operating Systems and their applications
- All UNIX variants
- Cisco routers and firewalls
- Toshiba netWork devices
- Netgear network devices
- Linksys network devices, including wireless access points

Platform support is scalable to any network size or architecture; consumer, small office home office (SOHO), enterprise, and distributed networks.

Support for additional machines and devices are in development and will be rolled out on an on-going basis.

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What is the SDK and Anti-Vulnerability™ Platform?

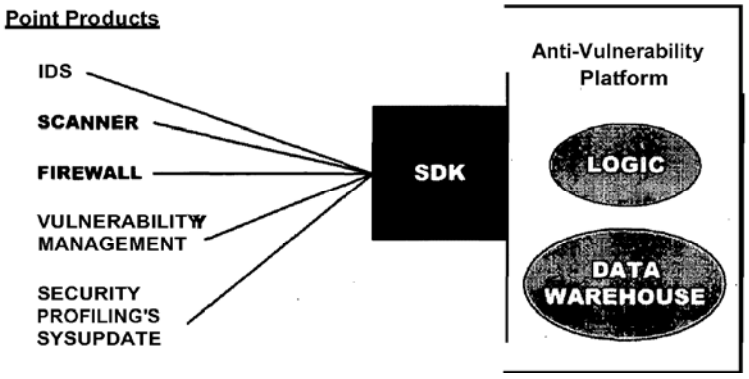
The SOK was designed to be a simple integration pathway to the back-end Anti-Vulnerability™ platfonn -consisting of a logic engine and vulnerability data warehouse. It will enable any network security product such as an IDS, scanner, or firewall to intelligently reference and share the same vulnerability data set, and provide complete vulnerability remediation functionalities. Thereby, improving system accuracy and efficiencies, minimizing false positives and false negatives, apd providing policy compliance and enforcement capabilities.

The technology is sophisticated, yet all of the details of managing the communications are implemented in the library, requiring the developer to only learn a few simple function calls as detailed in section five, and the SOK User's Guide. A product architect simply chooses the functionality desired, inserts the provided functionality SOK code into the product code. The SOK code will then query via the logic engine the Anti-Vulnerability™ data warehouse, and in turn will return an answer to the point product. The architect can then show the results in any fonnat desired in the product's interface. Full vulnerability remediation and policy compliance and enforcement functionalities may be integrated as well.

IIence, the SOK serves as the architect's tool belt or building blocks needed to quickly and transparently access the Anti-Vulnerability™ backend and seamlessly integrate the desired functionality into the product without changing or complicating the end user experience.

Furthermore, the SOK enables system architects to use the Anti-Vulnerability™ platform to integrate multiple security products and functionalities. Products may then share the same vulnerability data set, improve system automation and accuracy – increasing efficiencies and minimizing false positives and false negatives, and coordinate policy compliance functionality.

Figure I- SOK and Platform Overview Diagram



For more detail, see the Platform Component Diagram on page 9, and the Functionality Query Flow Chart on page 14.

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Networks are probed at an ever-increasing frequency for vulnerabilities, which may be subsequently exploited with compromise attacks. To protect the network, administrators have traditionally set up perimeer defense strategies.

These strategies generally call for network managers to lock down core servers, and monitor/scan/filter all incoming and outgoing traffic at the network perimeter with several point products such as antivirus and firewalls to identify and attempt to neutralize hackers and malicious code. In the past, these strategies worked well, however new threats are becoming more complex.

The latest malicious code may combine qualities of viruses, worms, and direct compromise attacks into new *blended* attacks. Virus payloads are becoming more complex and by using metamorphic or polymorphic abilities, viruses are able to change their signatures to avoid the fingerprint-type filtering that most applications employ.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional point products layered at the perimeter and to internal network machines and devices. Such point products include anti-virus, firewall, scanners, and network and host intrusion detection systems.

Each of these systems is based on specific signatures, rules, or anomalies of each attack and their variants, and do not identify and remediate the specific network vulnerabilities the attacks is targeting. So each attack, and its variants, must be identified and analyzed, a signature prepared, then finally deployed to each point product on each customer's network. This process is uncoordinated among multiple disparate systems, and creates an ever-increasing number of signatures producing more and more attack alerts requiring immediate attention many of which are erroneous.

Additionally, to proactively remediate the vulnerabilities the malicious code is targeting, administrators must quickly and diligently update or "patch" each network machine and device, which is a time-consuming and costly process. Further compounding the burden on administrators, best practice and government compliance directives now require higher standards of network security and integrity to protect consumer privacy, and they must be documented with change tracking and audit trail reports.

Therefore, it is increasingly difficult and costly to effectively mitigate new threats and manage numerous systems -particularly in an environment of rising security standards and policy compliance requirements.

Thus, the multi-tiered network defense strategy is falling short primarily for four reasons:

1. The inability of multi-tiered point products to communicate and share information necessary to mitigate blended threats, and minimize false positives and false negatives.

2. The vulnerability targeted by malicious code is not accurately identified nor proactively remediated.

3. The associated excessive aggregate cost of ownership of multiple systems.

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4. The excessive administrative burden and cost of managing and maintaining multiple systems.

Hence, there is a need to integrate systems, share infonnation intelligently to better defend against blended threats, reduce management and cost requirements, and automate vulnerability identification and remediation functionalities, as presented in the high-level requirements.

New Technology High-Level Requirements

A new technology is needed to meet market requirements:

1. Integrate point products to share infonnation
2. Provide system intelligence
3. Remediate network vulnerabilities

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Solution

SecurityProfiling now offers an intelligent integration platform and SOK the first Anti-Vulnerability™ technology to meet market requirements. The SOK and Anti-VulnerabiJityTM platform will enable product architects to integrate the ability for their products to intelligently reference and share information from the same vulnerability data set, provide vulnerability identification and remediation functionalities, and efficiently meet policy compliance and enforcement requirements.

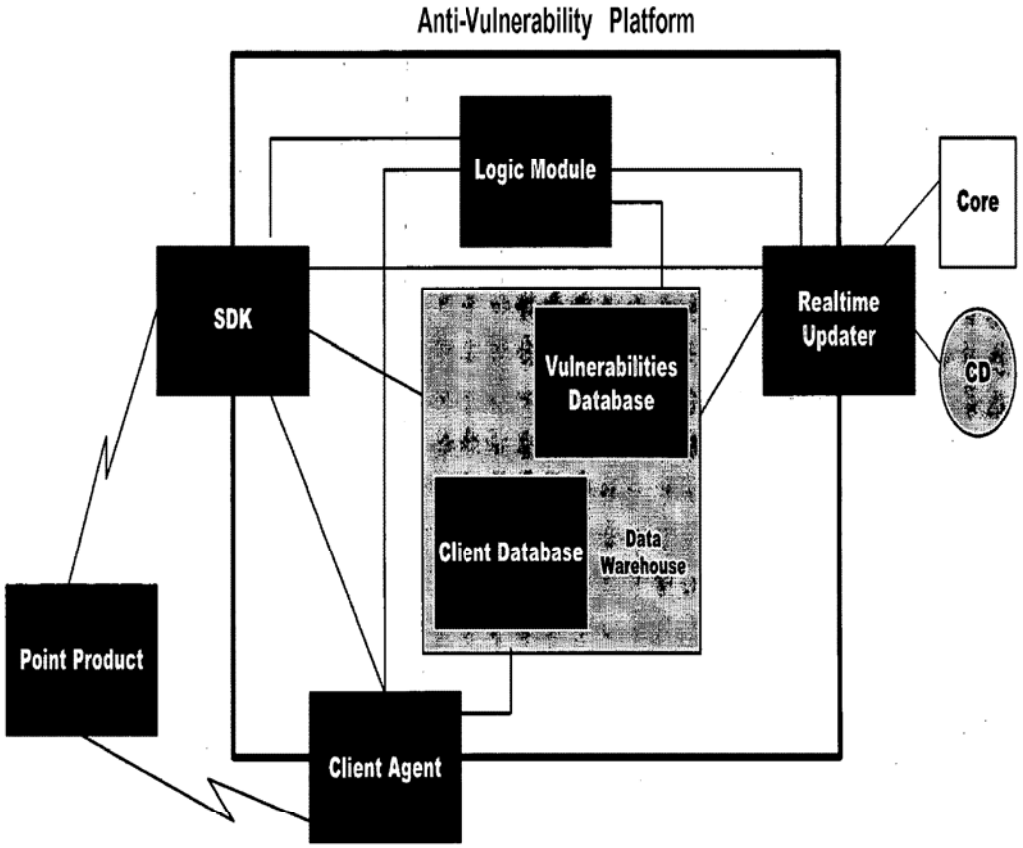
The Anti-Vulnerability™ platform is a complimentary network security technology. When integrated into the defense strategy, it adds intelligence that more accurately and efficiently mitigates blended threats and offloads the time-consuming functions that burden network administrators.

The platform enables point products to share information via its proprietary logic engine to automatically cross-reference the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Previously separate and uncoordinated processes are now more intelligent and automated, resulting in improved system accuracy and efficiency. Therefore the need to layer more and more point products is reduced, in-tum decreasing the amount of data particularly erroneous data to manage. Subsequently, the costs to acquire, operate; and manage the additional multiple point products are also reduced.

The platform will also remotely and proactively remediate vulnerabilities by first determining which updates are needed and compatible with each machine or device, taking into account the OS, applications, or firmware installed. Then, the updates may be deployed, installed, and validated. Thereby, policy compliance is effectively and efficiently enforced, and documented.

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Figure 2 – SDK and Platform Component Diagram



Anti-Vulnerability Engine
SOK
Logic Module

Anti-Vulnerability Service
Vulnerabilities Database
Realtime Updater
Core
CD

Features & Benefits

Features:

The Anti-Vulnerability™ platform and SOK fulfills market requirements noted in the previous section.

1. Integrates point products and provides system intelligence. The same vulnerability data warehouse infonnation is shared to the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability targeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned indicating if the machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

4. Proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

These functionalities will be presented in more detail in the next section Functionalities Integrated With the SOK.

Benefits:

Blended attacks are more effectively mitigated and the overwhelming management and maintenance burden on administrators to purchase, operate, and maintain multiple point products is reduced, while increasing productivity, reducing costs, and more effectively and efficiently meeting policy compliance and enforcement requirements.

Benefits to technology providers and end users:

Security Companies

- Supplements existing technology to better defend against blended attacks

  Intelligently accesses the vulnerability data warehouse, and remediates vulnerabilities.

- Supports both the enterprise and SOHO networks

  Data warehouse contains vulnerabilities and updates for many machines and devices that operate on both enterprise and SOHO networks. See the Supported Platfonns subsection for more details.

- Minimize development time-speed to market

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SDK functionalities may be integrated with sample code provided in the SDK User's Guide.

- Minimize end user education/ absorption costs

  The Anti-Vulnerability™ platform functionalities are transparently integrated, retaining pre-existing architecture, processes, and interfaces. Therefore, the end user experience remains the same, or improved with simplified or automated processes.

- Offers policy compliance and enforcement functionality

  Vulnerabilities may be automatically remediated, verified and documented, therefore enforcing compliance.

Product Architects

- Quick and easy integration process

  Simply insert the SDK code into the product code as detailed in the SDK User's Guide.

- The SDK adds functionality to products transparently – retaining pre-existing architecture and end user interfaces

  The SDK integrates functional ities that return answers to the functional queries from the logic engine and data warehouse. The responses then may be incorporated into existing product user interfaces at the discretion of the architect.

End Users

- No additional software or hardware implementation costs

  Anti-Vulnerability™ functionalities may be integrated into existing product platforms.

- Reduces cost of ownership of multi point products

  Shared vulnerability data sets and addd vul_nerability remediation functionalities may reduce the number of point products needed to adequately attain defense strategy requirements.

- Reduces point product management and maintenance costs

  Increased accuracy of vulnerability identification, remediation and policy enforcement, and reduction of false positives, false negatives and denial of service (DoS), significantly reduces management time and costs.

- Manage more machines and devices on the network through one portal

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Vulnerability remediation and policy compliance and enforcement may be integrated with existing security point products, and their respective interfaces.

- User experience remains the same .–additional time or costs to understand and execute new technologies are minimized

  Anti-Vulnerability™ functionalities may be integrated transparently and seamlessly, and the pre-existing operational processes and user interfaces are virtually unchanged.

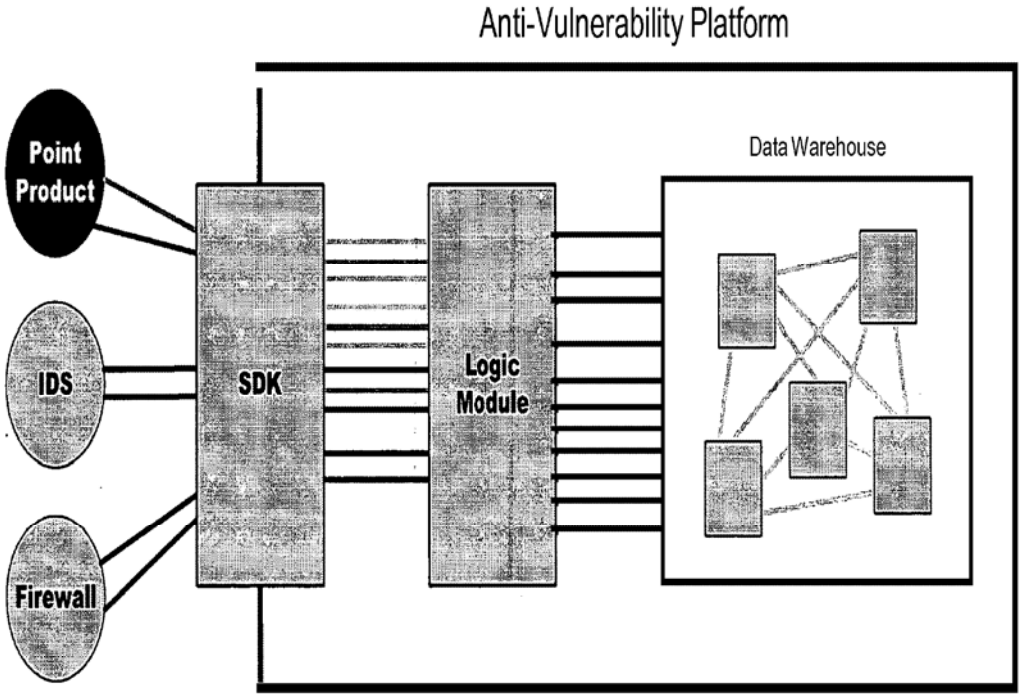
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This section provides the functionality query flow chart, and the SDK functionalities, by group, that may be integrated into point products.

The functionalities access the platform with queries to generate the desired answers. How queries flow through the platform is shown on the next page.

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Figure 3 – Functionality Query Flow Chart



- *Point Product* uses *SDK* functionality query
- *SDK* queries the *Logic Module*
- D *Logic* queries the *Data Warehouse*
- I:J *Data warehouse* queries its databases
- III Returns data to *Logic Module*
- And answer via the *SDK* to the *Point Product*

An overview of the functions that may be integrated via the SOK is provided below. The functions are presented in groups, and a full listing with parameters and returned answer fonnat is presented in Appendix I. More detail and step-by-step integration procedures are presented in the SOK User's Guide.

Functionality Groups:

1. Group Management Functions
2. Client Management Functions
3. Hot Fix Management Functions
4. Polling Functions
5. Vulnerability Query Functions
6. Conversion Functions

1. Group Management Functions

   a. CreateGroup -This function creates a new group.
   b. GetGroups -This function returns a list of all configured groups.
   c. DeleteG roup -This function removes a group.
   c:i. GetGroupPolicy -This function returns the policy for a group
   e. SetGroupPolicy -This functions sets a new policy for a group
   f. GetClientslnGroup -This function retrieves a list of clients that are members of a specific group
   g. AddClientToGroup -This function adds a client to a group
   h. RemoveClientFromGroup -This function removes a client from a group.

2. Client Management Functions

   a. GetClientHardwareStats -This function retrieves information about the client's hardware configuration
   b. GetClientInstalledSoftware -This function retrieves infonnation about software installed on the client.
   c. GetClientInstalledHotfixes -This function retrieves a list of hot fixes that were verified as installed on the last polling
   d. GetClientPendingUpdates -This function returns a list of hot fixes that the client needs (according to group policy) as of the last polling.
   e. GetClientLogs -This function returns a list of log entries for a particular client.

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f. ResetClient – This function causes the client to reset, thus forcing it to regenerate all information about its state.

g. DeleteClient This function removes all information pertaining to this client from the Anti-Vulnerability™ database.

h. GetClientHotFixStatus -This function retrieves information about a particular hot fix on a machine, such as: is it needed, is it installed, is it pending, is it send, etc.

3. Update Management Functions

a. GetHotFixInfo -This function retrieves detailed information about a particular update.

b. InstallHotFixForClient This function installs an update on a particular client if applicable.

c. InstallHotFixForGroup -This function installs an update on all clients in a group that need it.

d. InstallAllPendingClient This function installs all pending updates on a client.

e. InstallAllPendingGroup This function installs all pending updates on all clients in a group.

f. RejectHotFixForClient -This function rejects an update for a particular client.

g. RejectHotFixForGroup -This function rejects an update on all clients in a particular group.

h. RequeueHotFixForClient -This function cancels a previous update rejection for a particular client.

i. RequeueHotFixForGroup -This function cancels a previous update rejection for all clients in a particular group.

j. RemoveHotFixFromClient This function removes a previously installed update

k. RemoveHotFixFromGroup This function removes an update on all clients in a group that have that hot fix installed.

4. Polling Functions

a. PollClient -This function causes a client to be polled by the onsite server immediately.

b. PollGroup – This function causes all the clients in a particular group to be polled immediately.

c. PollAll This function causes all clients to be polled immediately.

d. IsPolling -This function returns TRUE if the on-site server is in the process of polling clients.

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5. Vulnerability Query Functions

   a. QueryVulnerabilityByCveID – This function retrieves whether or not the client is vulnerable to a particular CVE id.

   b. QueryVulnerabilityByQID -This function retrieves whether or not the client is vulnerable to a particular Q id.

   c. QueryVulnerabilityByMSID – This function retrieves whether or not the client is vulnerable to a particular MS id.

   d. QueryVulnerabilityByBugtraqID -This function retrieves whether or not the client is vulnerable to a particular Bugtraq id.

6. Conversion Functions

   a. CveID2QID -This function converts a CVE id to a corresponding Q id.

   b. CveID2MSID -This function converts a CVE id to a corresponding MS id.

   c. CveID2BugtraqID -This function converts a CVE id to a corresponding Bugtraq id.

   d. QID2CveID – This function converts a Q id to a corresponding CVE id.

   e. QID2MSID - This function converts a Q id to a corresponding MS id.

   f. QID2BugtraqID -This function converts a Q id to a corresponding Bugtraq id.

   g. MSID2CveID - This function converts an MS id to a corresponding CVE id.

   h. MSID2QID -This function converts an MS id to a corresponding Q id.

   i. MSID2BugtraqID – This function converts an MS id to a corresponding Bugtraq id.

   j. BugtraqID2CveID -This function converts a Bugtraq id to a corresponding CVE id.

   k. BugtraqID2QID -This function converts a Bugtraq id to a corresponding Q id.

   l. BugtraqID2MSID -This function converts a Bugtraq id to a corresponding MS id.

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This section provides examples of SOK applications, and their benefits, when the functionalities from the previous section are integrated into individual or multiple products.

1. Patch Deployment

SecurityProfiling 's SysUpdate™ vulnerability remediation solution has incorporated virtually all of the functionalities listed in the previous section. A white paper and trial download are available online that demonstrate its functionalities and benefits.

Benefits:

The SOK and platform enables products to add accurate vulnerability identification, remediation, verification, and policy compliance.

With the SOK, the product will gain intelligence, accuracy and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix updates for widely distributed programs, which will optimize system performance and enhance the consumer experience.

2. IDS

IDS products attempt to identify malicious code by signatures at both the network and host client level. While they may be able to identify its CVE ID or other vulnerability identifier, and target, they generally do not have the intelligence to determine if the any of the machines on the network are susceptible to that attack, or with finer granularity, if any machine has a specific vulnerability to that specific attack.

For example, if the attack is a Window based attack targeting a Windows machine; is the targeted machine actually running Windows, and if so, is the machine vulnerable to the attack? IDS systems do not have the intelligence to answer these questions. Lastly, if the targeted machine is vulnerable - it remains unremediated – the IDS system does not have the capability to remediate it.

Benefits:

With the SOK, a product architect can integrate functionalities listed in the previous section to enable the IDS to access the Anti-Vulnerability™ logic engine and platform. It will then have the intelligence to determine if any machine on the network is susceptible to the attack, remediate the vulnerability, mitigate the attack, and verify policy compliance.

Now, if no machines were susceptible to the attack, it is identified as an event but not an incident, no further data or alert is generated, and a management response is not required.

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With the SOK and platform, the product will gain intelligence, accuracy, and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks.

3. Scanners

Vulnerability scanners assess each machine on the network for vulnerabilities, and create lists of potential vulnerabilities to the system managers. The lists commonly contain many false positives and false negatives, burdening the system and managers with inaccuracies.

Benefits:

With the SOK, a product architect can integrate functionalities listed in the previous section to enable the scanner to access the Anti-Vulnerability™ logic engine and platform, and then have the intelligence to determine if the machine has actual vulnerabilities, remediate them, and verify policy compliance.

With the SOK and platform, the product will gain intelligence, accuracy, and efficiency, eliminated false positives and false negatives, and ensured policy compliance, thereby saving the organization time and money.

4. Firewall

"Smart" firewalls are based in part on signatures and other similar functionalities as the IDS products described above.

Benefits:

With the SOK and platform, the firewall can determine whether an attack is valid or a false positive, thereby preventing the security system from denying valid traffic to the organization self-inflicted DOS attacks.

Such functionalities and benefits are available for both the enterprise and SOHO networks.

5. Vulnerability Management

Vulnerability Management products enable managers to set policy and identify potential network vulnerabilities. They typically do not accurately identify each vulnerability on each network machine and device, nor remediate each vulnerability, meeting policy compliance enforcement requirements.

Benefits:

The SOK and platform offer . similar functionalities and benefits as the patch deployment products described above. In short, it enables products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement. Such functionalities and benefits are available for both the enterprise and SOHO networks.

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6. Multiple Products: IDS, Scanner, Firewall, and Vulnerability Management

Each product functions as the individual products noted above. Each may be deployed and operated on the network in a multi-tiered network defense strategy. They may be disparate system, and their signatures and update deployment schedules may vary. Therefore, the probability of mitigating a new and complex threat decreases, while management requirements and cost increases.

Benefits:

With the SOK and platfonn, they each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats. It will also enable the products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement functionalities.

7. Client Security

ClieQt security products offer an integrated antivirus, firewall, and IDS functionality.

With the SOK and platform, they attain the additional functionalities· and benefits as the multiple products listed above, yet are even more effective since they additionally communicate and share information directly with each other. They will also attain vulnerability identification, reference, remediation, and policy compliance and enforcement capabilities.

Such functionalities and benefits are available for both the enterprise and SOHO networks. And, for the consumer market, it will additionally support non-security related updates such as application version, perfonnance, and bug-fix updates for widely distributed programs, which will optimize system perfonnance and enhance the consumer experience.

8. Change Management

Existing change management {CM) applications control the documentation and logging of change throughout the enterprise. These applications ensure that an organization maintains consistent records of what happened and when. Currently administrators must independently recognize that a security patch/update must be deployed to a computer or group of computers. The user enters the request in the system, through the pipe-lined process of change management the request would be approved, the patch/update would be manually installed by a user, then documented in the change management software that the process has been completed. While CM software assists in documentation, very little if any assistance is provided in identifying the patches/updates needed, nor verifying correct function after the update/patch is installed.

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Benefits:

With the SDK and platform, change management integration will greatly streamline this process further reducing total cost of ownership, ease of use, and a higher standard of documentation. The products will then automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and .automatically provide all necessary documentation and logging required.

Lastly, the Anti-Vulnerability platform may also provide product upgrades and signature updates to each of these various security products • including all of the Anti-Vulnerability technology benefits such as ensuring compliance of signature versions, logging, reporting, and verification of installation.

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This section consists of a detailed description of the platform's components, the NOC Servers, and system requirements:

Client Agent

Logic Engine

Data Warehouse

Network Operations Center (NOC) Servers

System Requirements

Client Agent

The agent is remotely deployed to each machine or device on the network, and has two primary functions.

1. Accurately identifies the OS, applications, firmware, and updates installed on each machine or device.

2. Installs the updates.

Identifies Applications Installed

The client agent accurately identifies and inventories the operating system, applications, and updates installed on each machine. Periodically, the system polls each client agent and the configuration data is transferred back to the data warehouse. The logic engine determines and deploys the appropriate updates to each machine. (More detail of this process is provided in the Logic Engine sub-section, on the next page.)

Installs the Updates

The client agent installs the updates, and verifies they are running correctly.

This cycle is repeated each polling interval. Should an update not be installed properly, or even if the user (or intruder) accidentally or purposely deletes an update, the system will re-install it.

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Client Agent Component	Application size:	The client agent is less than 1 MB, and is virtually undetectable.
	Application Type:	Automatic Service
	Connectivity Required:	TCP/IP
	Compatibility/Stability:	In lab testing, the agent has been shown to be compatible with other agents, such as anti-virus agents. To date, customers have not encountered any problems.
	User Options:	Run queued updates, only.
	Security:	Updates sent to each client in an AES-encrypted format.

Logic Engine

The logic engine, or system intelligence, cross references the vulnerability that the threat is targeting and the targeted machine or device vulnerabilities through the data warehouse, and returns the answer to the point product.

It also determines which updates are needed and compatible with each machine's configuration.

Tht? .logic engine cross-references and matches each client's configuration with the information for each update, and determines which updates are appropriate. It then takes these results and filters them through the group policy to determine which updates should actually be installed on the client. Lastly the logic engine once more references the group policy to determine what action (if any) to take, and then performs this action at the appropriate time.

Data Warehouse

This component has four primary functions:

1. For vulnerability remediation functionalities, periodically polls the clients for configuration data.
2. Maintains the vulnerability database.
3. Maintains the update database.
4. Periodically polls the NOC server, and receives updates.

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Client Agent Polling
The client agents are periodically polled for client configuration data. Each client responds with their respective OS, applications, firmware and updates installed, which will be cross-referenced by the logic engine.

Vulnerability Database
The data warehouse fully maintains a full vulnerability database. The database is a self-configuring, self-populating, maintenance-free database, and does not require administrator inputs or interaction. The database periodically synchronizes itself with the NOC servers' database.

The database was designed to accommodate and organize all vulnerabilities across the network with a proprietary schema. The schema was also designed to be accessible to unique queries to cross-reference its data. The logic engine determines which fields are to be queried, and returns the processed data results.

Update Database
The on-site server component fully maintains an update database. The database is a self-configuring, self-populating, maintenance-free database, and does not require administrator inputs or interaction. The database periodically synchronizes itself with the NOC servers' database, as noted below.

NOC Server Polling
The NOC servers are polled periodically, and operate on a "pull" traffic network. The only information leaving the customer's site is an encrypted key, used for authentication by the NOC servers. Once authenticated, the servers are synchronized with the latest vulnerabilities and updates. These files are sent in an AES-encrypted format.

Server Component	Space required:	The server component requires 40 GB of space.
	Security:	Updates pulled from NOC Servers are in.an AES-encrypted format.
	Polling Inte.rval:	The on-site server polls the clients at any interval selected by the administrator.

Network Operations Center (NOC) Servers
The vulnerabilities and updates and their respective guidelines are archived in the Anti-Vulnerability™ NOC servers' database and periodically distributed to the.customer's site.

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System Requirements

There are two system requirements: TCP/IP connectivity, and network platfonns supported.

The application is scalable to any network size or architecture, and only requires TCP/IP connectivity between the client and the server.

The platfonn is compatible with any of the following machines or devices:

- Windows
- All UNIX variants
- Cisco routers and firewalls
- Toshiba network devices
- Netgear network devices
- Linksys network devices, including wireless access points

Support for additional machines and devices are in development and will be rolled out on an on-going basis.

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Conclusion

The Anti-Vulnerability™ platform and SOK is an intelligent technology that will supplement any existing defense strategy. It integrates point products so they may share the same vulnerability data set to improve automation and accuracy – increasing efficiencies and minimizing false positives and false negatives. It also enables remote identification, management, and remediation of network vulnerabilities, and provides update deployment, validation, and reporting capabilities. Thereby, the platform and SOK improves network security and integrity, mitigation of blended threats, while increasing productivity, saving time and money, and more effectively and efficiently attaining policy compliance and enforcement requirements.

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Anti-Vulnerability™ functions that are accessible via the SDK are presented in groups, as follows:

A. **Group Management Functions**
B. **Client Management Functions**
C. **Hot Fix Management Functions**
D. **Polling Functions**
E. **Vulnerability Query Functions**
F. **Conversion Functions**

A. Group Management Functions

- CreateGroup
  Parameters: GROUP structure defining the new group.
  Returns: Success or failure
  Description: This function creates a new group.
- GetGroups
  Parameters: None
  Returns: An array of GROUP structures.
  Description: This function returns a list of all configured groups.
- DeleteG roup
  Parameters: GROUP structure to be deleted.
  Returns: Success or failure
  Description: This function removes a group.
- GetGroupPolicy
  Parameters: GROUP structure to get the corresponding POLICY structure from.
  Returns: POLICY structure corresponding to the passed GROUP
  Description: This function returns the policy for a group.
- SetGrou pPolicy
  Parameters: GROUP structure to receive new policy, POLICY structure to set for the group.
  Returns: Success or failure
  Description: This functions sets a new policy for a group.
- GetClientsInGroup
  Parameters: GROUP structure to retrieve the clients from
  Returns: Array of CLIENT structures belonging to the GROUP.

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Description: This function retrieves a list of clients that are members of a specifie group.

- AddClientToGroup
  Parameters: CLIENT structure to add to a group, GROUP structure to add the client to.
  Returns: Success or failure
  Description: This function adds a client to a group.

- RemoveClientFromGroup
  Parameters: CLIENT structure to remove from group, GROUP structure to remove the client from
  Returns: Success or failure
  Description. This function removes a client from a group.

B. Client Management Functions

- GetClientHardwareStats
  Parameters: CLIENT structure to get information from.
  Returns: CLIENT_HARDWARE structure describing the client's hardware configuration
  Description: This function retrieves information about the client's hardware configuration

- GetClientInstalledSoftware
  Parameters: CLIENT structure to get information from.
  Returns: CLIENT_SOFTWARE structure describing softWare install on the client.
  Description: This function retrieves information about software installed on the client.

- GetClientInstalledHotfixes
  Parameters: CLIENT structure to get information from.
  Returns: Array of HOTFIX structures corresponding to the installed hot fixes on the client
  Description: This function retrieves a list of hot fixes that were verified as installed on the last polling.

- GetClientPendingU pdates
  Parameters: C.LIENT structure to get information from.
  Returns: Array of HOTFIX structures corresponding to the pending hot fixes for the client
  Description: This function returns a list of hot fixes that the client needs (according to group policy) as of the last polling.

- GetClientLogs
  Parameters: CLIENT structure to get information from
  Returns: Array of CLIENT_LOG structures containing log entries for the client.
  Description: This function returns a list of log entries for a particular client.

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- ResetClient
  Parameters: CLIENT structure to reset.
  Returns: Success or failure
  Description: This function causes the client to reset, thus forcing it to regenerate all information about its state.

- DeleteClient
  Parameters: CLIENT structure to delete.
  Returns: Success or failure
  Description: This function removes all information pertaining to this client from the Anti-Vulnerability™ database.

- GetClientHotFixStatus
  Parameters: CLIENT structure to get information from, HOTFIX structure to get information about
  Returns: Code to indicate the status of the hot fix with respect to that client, or failure.
  Description: This function retrieves information about a particular hot fix on a machine, such as: is it needed, is it installed, is it pending, is it send, etc.

C. Update Management Functions

- GetHotFixInfo
  Parameters: HOTFIX structure to get information from
  Returns: HOTFIX_INFO structure describing the update
  Description: This function retrieves detailed information about a particular update.

- InstallHotFixForClient
  Parameters: HOTFIX structure to install, CLIENT structure to install the update on.
  Returns: Success or failure.
  Description: This function installs an update on a particular client if applicable.

- InstallHotFixForGroup
  Parameters: HOTFIX structure to install, GROUP structure to deploy the update to.
  Returns: Success or failure
  Description: This function installs an update on all clients in a group that need it.

- InstallAllPendingClient
  Parameters: CLIENT structure to install update on
  Returns: Success or failure
  Description: This function installs all pending updates on a client.

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- **InstallAllPendingGroup**
  Parameters: GROUP to deploy update to.
  Returns: Success or failure
  Description: This function installs all pending updates on all clients in a group.

- **RejectHotFixForClient**
  Parameters: HOTFIX structure to reject, CLIENT structure to reject update on.
  Returns: Success or failure
  Description: This function rejects an update for a particular client.

- **RejectHotFixForGroup**
  Parameters: HOTFIX structure to reject, GROUP structure to reject update for.
  Returns: Success or failure
  Description: This function rejects an update on all clients in a particular group.

- **RequeueHotFixForClient**
  Parameters: HOTFIX structure to requeue, CLIENT structure to requeue the update on.
  Returns: Success or failure. ,
  Description: This function cancels a previous update rejection for a particular client.

- **RequeueHotFixForGroup**
  Parameters: HOTFIX structure to requeue, GROUP structure to requeue the update for.
  Returns: Success or failure
  Description: This function cancels a previous update rejection for all clients in a particular group.

- **RemoveHotFixFromClien**t
  Parameters: HOTFIX structure to remove, CLIENT structure to remove the update from.
  Returns: Success or failure
  Description: This function removes a previously installed update

- **RemoveHotFixFromGroup**
  Parameters: HOTFIX structure to remove, GROUP structure to remove the update from
  Returns: Success or failure
  Description: This function removes an update on all clients in a group that have that hot fix installed.

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D. Polling Functions

- **PollClient**
  Parameters: CLIENT structure to poll
  Returns: Success or failure
  Description: This function causes a client to be polled by the onsite server immediately.

- **PollGroup**
  Parameters: GROUP structure to poll
  Returns: Success or failure
  Description: This function causes all the clients in a particular group to be polled immediately.

- **PollAll**
  Parameters: NONE
  Returns: Success or failure
  Description: This function causes all clients to be polled immediately.

- **IsPolling**
  Parameters: NONE
  Returns: TRUE or FALSE
  Description: This function returns TRUE if the OnSite Server is in the process of polling clients.

E. Vulnerability Query Functions

- **QueryVulnerabilityByCveID**
  Parameters: CLIENT structure to get information from, CVEID structure fo get information about
  Returns: Code indicating status of machine with respect to the CVE id
  Description: This function retrieves whether or not the client is vulnerable to a particular CVE id.

- **QueryVulnerabilityByQID**
  Parameters: CLIENT structure to get information from, QID structure to get information about.
  Returns: Code indicating status of machine with respect to the Q id
  Description: This function retrieves whether or not the client is vulnerable to a particular Q id.

- **QueryVulnerabilityByMSID**
  Parameters: CLIENT structure to get information from, MSID structure to get information about.
  Returns: Code indicating status of machine with respect to the MS id
  Description: This function retrieves whether or not the client is vulnerable to !lparticular MS id

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- QueryVulnerabilityByBugtraqID
  Parameters: CLIENT structure to get information from, BUGTRAQID structure to get information about.
  Returns: Code indicating status of machine with respect to the Bugtraq id
  Description: This function retrieves whether or not the client is vulnerable to a particular Bugtraq id.

F. Conversion Functions

- CveID2QID
  Parameters: CVEID Structure to convert
  Returns: QID Structure corresponding to a CVE id
  Description: This function converts a CVE id to a corresponding Q id.

- CveID2MSID
  Parameters: CVEID Structure to convert
  Returns: MSID Structure corresponding to a CVE id
  Description: This function converts a CVE id to a corresponding MS id.

- CveID2BugtraqID
  Parameters: CVEID Structure to convert
  Returns: BUGTRAQID Structure corresponding to a CVE id
  Description: This function converts a CVE id to a corresponding Bugtraq id.

- QID2CveID
  Parameters: QID Structure to convert
  Returns: CVEID Structure corresponding to a Q id
  Description: This function converts a Q id to a corresponding CVE id.

- QID2MSID
  Parameters: QID Structure to convert
  Returns: MSID Structure corresponding to a Q id
  Description: This function converts a Q id to a corresponding MS id.

- QID2BugtraqID
  Parameters: QID Structure to convert
  Returns: BUGTRAQID Structure corresponding to a Q id
  Description: This function converts a Q id to a corresponding Bugtraq id.

- MSID2CveID
  Parameters: MSID Structure to convert
  Returns: CVEID Structure corresponding to an MS id
  Description: This function converts an MS .id to a corresponding CVE id.

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- **MSID2QID**
  Parameters: MSID Structure to convert
  Returns: QID Structure corresponding to an MS id
  Description: This function converts an MS id to a corresponding Q id.

- **MSID2BugtraqID**
  Parameters: MSID Structure to convert
  Returns: BU.GTRAQID Structure corresponding to an MS id
  Description: This function converts an MS id to a corresponding Bugtraq id.

- **BugtraqlD2CveID**
  Parameters: BUGTRAQID Structure to convert
  Returns: CVEID Structure corresponding to a Bugtraq id
  Description: This function converts a Bugtraq id to a corresponding CVE id.

- **Bugtraq1D2QID**
  Parameters: BUGTRAQID Structure to convert
  Returns: QID Structure corresponding to a Bugtraq id
  Description: This function converts a Bugtraq id to a corresponding Q id.

- **BugtraqlD2MSID**
  Parameters: BUGTRAQID Structure to convert
  Returns: MSID Structure corresponding to a Bugtraq id
  Description: This function converts a Bugtraq id to a corresponding MS id.

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For further infonnation regarding SecurityProfiling's products and services, please contact us at:



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Annex B

What is Anti-Vulnerability™ Technology?

Anti-Vulnerability™ technology is a platform and underlying back end that consists of a logic engine and vulnerability data warehouse. (Reference the diagram on page 8.) It will integrate with and enable network security components such as IDS, scanners, or firewalls to intelligently reference and share the same vulnerability data set, and independently provide complete vulnerability remediation (patching) functionalities such as that provided by the automated updating application, SysUpdate™. Thereby, the technology will improve system accuracy and efficiencies, minimize false positives and false negatives, and provide policy compliance and enforcement capabilities.

Market Requirements

The latest network compromises are combining qualities of viruses, worms, and direct compromise attacks into new blended attacks and may utilize metamorphic or polymorphic abilities to change their signatures to avoid detection.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional network security components layered at the perimeter and to internal network machines and devices.

However, the network security components rely on signatures or anomalies, producing an ever-increasing quantity of data, including false positive and false negatives. They also lack the intelligence to identify, reference, or remediate the vulnerabilities targeted by the attack. Furthermore, the cost of the acquiring, managing, and maintaining numerous network security components is overwhelming the end user.

Therefore, a more sophisticated, intelligent technology is needed to resolve these issues.

Solution

SecurityProfiling now offers an intelligent integration platform and SOK -the first Anti-Vulnerability™ technology to meet market requirements.

Functional Description

1. Enhances security components and provides system intelligence. The same vulnerability data warehouse information is shared with the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability ta rgeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned accurately indicating if the machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

4. Proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

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Anti-Vulnerability™ Technology Applications

Examples of Anti-Vulnerability™ applications that may be integrated into network security components for enterprise and small office home office (SOHO) networks:

1. Update or Patch Deployment Remotely remediates network vulnerabilities and provides policy compliance and enforcement capabilities. See *SecurityProfiling's* SysUpdateTM white paper and trial download online. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix upgrades.

2. IDS Eliminates false positives and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities. (See SecurityProfiling's website, Workbench menu, for projects in development.)

3. Scanner Eliminates false positive and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities. (See SecurityProfiling's website, Workbench menu, for projects in development.)

4. Firewall – Eliminates false positive and false negatives, preventing the security system from denying valid traffic to the organization – self-inflicted denial of service attacks - and adds vulnerability remediation, and policy compliance and enforcement functionalities.

5. Vulnerability Management Same as 1., above.

6. Multiple Products: IDS, Scanner, and Firewall – Each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats.

7. Change Management – Will automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and automatically provide all necessary documentation and logging required.

Lastly, the Anti-Vulnerability platform may also provide product upgrades and signature updates to each of these various security products.

Components

The Anti-Vulnerability™ platform is comprised of the following software components: SDK, Client Agent, Logic Engine, and Data Warehouse. Network Operations Center (NOC) Servers periodically synchronize the customers' servers with the latest vulnerability and update data. Please reference the Platform Component Diagram on page 8.

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System Requirements

There are two system requirements: TCP/IP connectivity, and supported network machines and devices. Platforms supported are:

- All Windows Operating Systems and their applications
- All UNIX variants
- Cisco routers and firewalls
- Toshiba network devices
- Netgear network devices
- Linksys network devices, including wireless access points

Platform support is scalable to any network size or architecture; consumer, small office home office (SOHO), enterprise, and distributed networks.

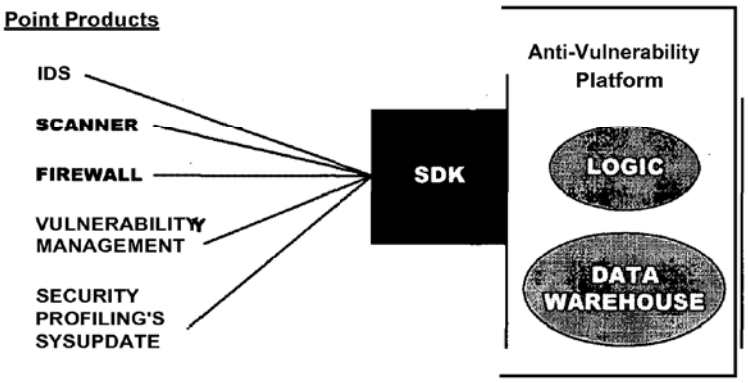
Support for additional machines and devices are in development and will be rolled out on an on-going basis.

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What is Anti-Vulnerability™ Technology?

Anti-Vulnerability™ technology is a backend platform that consists of a logic engine and vulnerability data warehouse. It will integrate with and enable network security components such as IDS, scanners, or firewalls to intelligently reference and share the same vulnerability data set, and independently provide complete vulnerability remediation (patching) functionalities such as that provided by the automated updating application, SysUpdate™. Thereby, the technology will improve system accuracy and efficiencies, minimize false positives and false negatives, and provide policy compliance and enforcement capabilities.

Figure I-Anti-Vulnerability Technology



For more detail, see the Platform Component Diagram on page 8.

Anti-Vulnerability™ technology will ideally meet market requirements, presented in the next section.

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Market Requirements

Networks are probed at an ever-increasing frequency for vulnerabilities, which may be subsequently exploited with compromise attacks. To protect the network, administrators have traditionally set up perimeter defense strategies.

These strategies generally call for network managers to lock down core servers, and monitor/scan/filter all incoming and outgoing traffic at the network perimeter with several network security components such as antivirus and firewalls to identify and attempt to neutralize hackers and malicious code. In the past, these strategies worked well, however new threats are becoming more complex.

The latest malicious code may combine qualities of viruses, worms, and direct compromise attacks into new *blended* attacks. Virus payloads are becoming more complex and by using metamorphic or polymorphic abilities, viruses are able to change their signatures to avoid the fingerprint-type filtering that most applications employ.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional network security components layered at the perimeter and to internal network machines and devices. Such network security components include antivirus, firewall, scanners, and network and host intrusion detection systems.

Each of these systems is based on specific signatures, rules, or anomalies of each attack and their variants, and do not identify and remediate the specific network vulnerabilities the attack is targeting. So each attack, and its variants, must be identified and analyzed, a signature prepared, then finally deployed to each point product on each customer's network. This process is uncoordinated among multiple disparate systems, and creates an ever-increasing number of signatures producing more and more attack alerts requiring immediate attention – many of which are erroneous.

Additionally, to proactively remediate the vulnerabilities the malicious code is targeting, administrators must quickly and diligently update or "patch" each network machine and device, which is a time-consuming and costly process. Further compounding the burden on administrators, best practice and government compliance directives now require higher standards of network security and integrity to protect consumer privacy, and they must be documented with change tracking and audit trail reports.

Therefore, it is increasingly difficult and costly to effectively mitigate new threats and manage numerous systems -particularly in an environment of rising security standards and policy compliance requirements.

Thus, the multi-tiered network defense strategy is falling short primarily for four reasons:

1. The inability of multi-tiered network security components to communicate and share information necessary to mitigate blended threats, and minimize false positives and false negatives.

2. The vulnerability targeted by malicious code is not accurately identified nor proactively remediated.

3. The associated excessive aggregate cost of ownership of multiple systems.

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4. The excessive administrative burden and cost of managing and maintaining multiple systems.

Hence, there is a need to integrate systems, share information intelligently to better defend against blended threats, reduce management and cost requirements, and automate vulnerability identification and remediation functionalities, as presented in the high-level requirements.

New Technology High-Level Requirements

A new technology is needed to meet market requirements:

1. Integrate network security components to share information
2. Provide system intelligence
3. Remediate network vulnerabilities

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Solution

Anti-Vulnerability™ technology will integrate and enable network security components to intelligently reference and share information from the same vulnerability data set, provide vulnerability identification and remediation functionalities, and efficiently meet policy compliance and enforcement requirements.

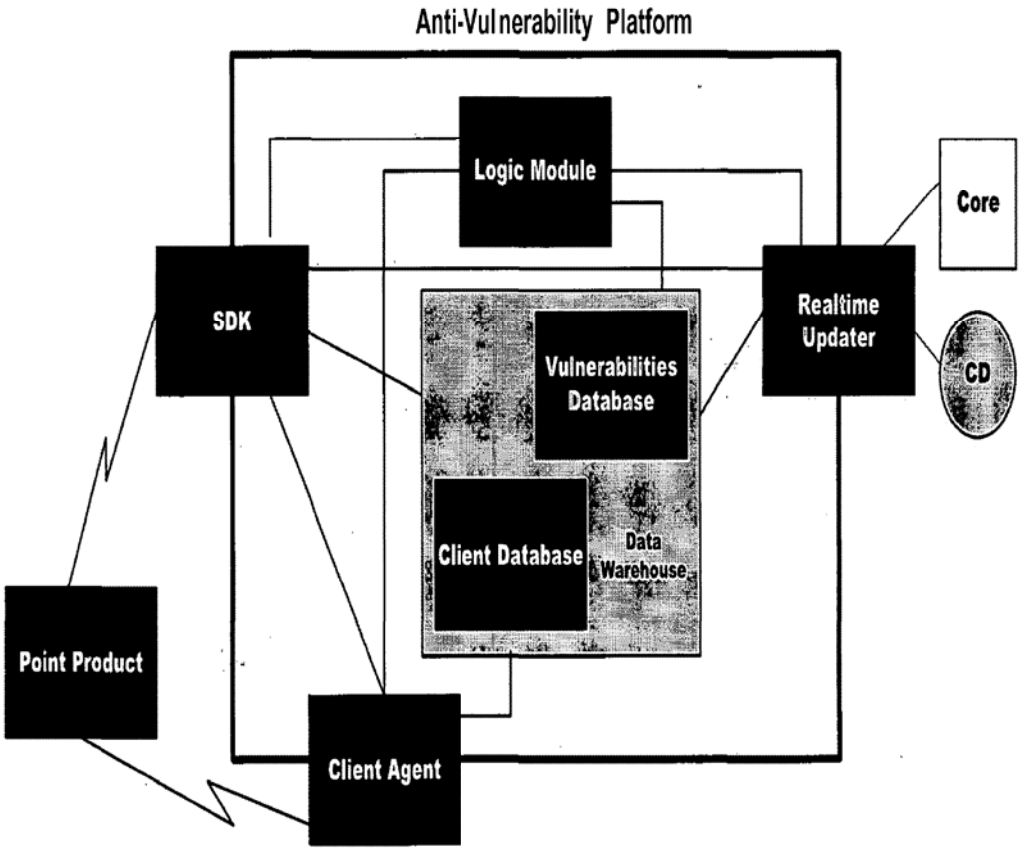
The Anti-Vulnerability™ platform is a complimentary network security technology. When integrated into the defense strategy, it adds intelligence that more accurately and efficiently mitigates blended threats and offloads the time-consuming functions that burden network administrators.

The platform enables network security components to share information via its proprietary logic engine to automatically cross-reference the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Previously separate and uncoordinated processes are now more intelligent and automated, resulting in improved system accuracy and efficiency. Therefore the need to layer more and more network security components is reduced, in-tum decreasing the amount of data – particularly erroneous data – to manage. Subsequently, the costs to acquire, operate, and manage the additional multiple network security components are also reduced.

The platform will also remotely and proactively remediate vulnerabilities by first determining which updates are needed and compatible with each machine or device, taking into account the OS, applications, or firmware installed. Then, the updates may be deployed, installed, and validated. Thereby, policy compliance is effectively and efficiently enforced, and documented.

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Figure 2 – SDK and Platform Component Diagram



Anti-Vulnerability Engine
SOK
Logic Module

Anti-Vulnerability Service
Vulnerabilities Database
Realtime Updater
Core
CD

Features & Benefits

Features:

Anti-Vulnerability™ technology fulfills market requirements noted in the previous section.

1. Integrates network security components and provides system intelligence. The same vulnerability data warehouse information is shared to the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability targeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned indicating if the machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

4. Proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

Benefits:

Blended attacks are more effectively mitigated and the overwhelming management and maintenance burden on administrators to purchase, operate, and maintain multiple network security components is reduced, while increasing productivity, reducing costs, and more effectively and efficiently meeting policy compliance and enforcement requirements.

End Users

- Supplements existing technology. to better defend against blended attacks

  Intelligently accesses the vulnerability data warehouse, and remediates vulnerabilities.

- Offers policy compliance and enforcement functionality

  Vulnerabilities may be automatically remediated, verified and documented, therefore enforcing compliance.

- No additional software or hardware implementation costs

  Anti-Vulnerability™ functionalities may be integrated into existing product platforms.

- Reduces cost of ownership of multi network security components

  Shared vulnerability data sets and added vulnerability remediation functionalities may reduce the number of network security components needed to adequately attain defense strategy requirements.

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- Reduces management and maintenance costs

  Increased accuracy of vulnerability identification, remediation and policy enforcement, and reduction of false positives, false negatives and denial of service (DoS), significantly reduces management time and costs.

- Manage more machines and devices on the network through one portal

  Vulnerability remediation and policy compliance and enforcement may be integrated with existing security network security components, and their respective interfaces.

- Minimize end user education/ absorption costs

  Anti-Vulnerability™ applications are transparently integrated, retaining pre-existing architecture, processes, and interfaces. Therefore, the end user experience remains the same, or improved with simplified or automated processes.

- User experience remains the same – additional time or costs to understand and execute new technologies are minimized

  Anti-Vulnerability™ applications may be integrated transparently and seamlessly, and the pre-existing operational processes and user interfaces are virtually unchanged.

- Supports both the enterprise and SOHO networks

  Data warehouse contains vulnerabilities and updates for many machines and devices that operate on both enterprise and SOHO networks. See the Supported Platforms subsection for more details.

  Such applications are presented in the next section.

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Anti-Vulnerability™ Technology Applications

Examples of Anti-Vulnerability™ applications that may be made available for enterprise and small office home office (SOHO) networks:

1. Update or Patch Deployment

SecurityProfiling 's SysUpdate™ vulnerability remediation solution is the first Anti-Vulnerability™ technology application. A white paper and trial download are available online that demonstrate its functionalities and benefits.

Benefits:

Anti-Vulnerability™ technology enables products to add accurate vulnerability identification, remediation, verification, and policy compliance.

With Anti-Vulnerability™ technology, products will gain intelligence, accuracy and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix updates for widely distributed programs, which will optimize system performance and enhance the consumer experience.

2. IDS

IDS products attempt to identify malicious code by signatures at both the network and host client level. While they may be able to identify its CVE ID or other vulnerability identifier, and target, they generally do not have the intelligence to determine if the any of the machines on the network are susceptible to that attack, or with finer granularity, if any machine has a specific vulnerability to that specific attack.

For example, if the attack is a Window based attack targeting a Windows machine, is the targeted machine actually running Windows, and if so, is. the machine vulnerable to the attack? IDS systems do not have the intelligence to answer these questions. Lastly, if the targeted machine is vulnerable - it remains unremediated – the IDS system does not have the capability to remediate it.

Benefits:

With Anti-Vulnerability™ technology, a product architect can integrate functionalities listed in the previous section to enable the IDS to access the Anti-Vulnerability™ logic engine and platform. It will then have the intelligence to determine if any machine on the network is susceptible to the attack, remediate the vulnerability, mitigate the attack, and verify policy compliance.

Now, if no machines were susceptible to the attack, it is identified as an event but not an . incident, no further data or alert is generated, and a management response is not required.

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With Anti-Vulnerability™ technology, the product will gain intelligence, accuracy, and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks.

3. Scanners

Vulnerability scanners assess each machine on the network for vulnerabilities, and create lists of potential vulnerabilities to the system managers. The lists commonly contain many false positives and false negatives, burdening the system and managers with inaccuracies.

Benefits:

With Anti-Vulnerability™ technology, a product architect can integrate functionalities listed in the previous section to enable the scanner to access the Anti-Vulnerability™ logic engine and platform, and then have the intelligence to determine if the machine has actual vulnerabilities, remediate them, and verify policy compliance.

With Anti-Vulnerability technology, the product will gain intelligence, accuracy, and efficiency, eliminated false positives and false negatives, and ensured policy compliance, thereby saving the organization time and money.

4. Firewall

"Smart" firewalls are based in part on signatures and other similar functionalities as the JDS products described above.

Benefits:

With Anti-Vulnerability™ technology and platform, the firewall can determine whether an attack is valid or a false positive, thereby preventing the security system from denying valid traffic to the organization – self-i!1flicted DOS attacks.

Such functionalities and benefits are available for both the enterprise and SOHO networks.

5. Vulnerability Management

Vulnerability Management products enable managers to set policy and identify potential network vulnerabilities., They typically do not accurately identify each vulnerability on each network machine and device, nor remediate each vulnerability, meeting policy compliance enforcement requirements.

Benefits:

Anti-Vulnerability™ technology· offers similar functionalities and benefits as the patch deployment products described above. In short, it enables products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement. Such functionalities and benefits are available for both the enterprise and SOHO networks.

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6. Multiple Products: IDS, Scanner, Firewall, and Vulnerability Management

Each product functions as the individual products noted above. Each may be deployed and operated on the network in a multi-tiered network defense strategy. They may be disparate system, and their signatures and update deployment schedules may vary. Therefore, the probability of mitigating a new and complex threat decreases, while management requirements and cost increases.

Benefits:

With Anti-Vulnerability™ technology, they each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats. It will also enable the products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement functionalities.

7. Change Management

Existing change management (CM) applications control the documentation and logging of change throughout the enterprise. These applications ensure that an organization maintains consistent records of what happened and when. Currently administrators must independently recognize that a security patch/update must be deployed to a computer or group of computers. The user enters the request in the system, through the pipe-lined process of change management the request would be approved, the patch/update would be manually installed by a user, then documented in the change management software that the process has been completed. .While CM software assists in documentation, very little if any assistance is provided in identifying the patches/updates needed, nor verifying correct function after the update/patch is installed.

Benefits:

With Anti-Vulnerability™ technology, change management integration will greatly streamline this process further reducing total cost of ownership, ease of use, and a higher standard of documentation. The products will then automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and automatically provide all necessary documentation and logging required.

Lastly, Anti-Vulnerability™ technology may also provide product upgrades and signature updates to each of these various security products - including all of the Anti-Vulnerability technology benefits such as ensuring compliance of signature versions, logging, reporting, and verification of installation.

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Anti-Vulnerability™ technology is an intelligent platform that will supplement any existing defense strategy. Once integrated with the technology, components may share the same vulnerability data set to improve automation and accuracy – increasing efficiencies and minimizing false positives and false negatives. It also enables remote identification, management, and remediation of network vulnerabilities, and provides update deployment, validation, and reporting capabilities. Thereby, the technology improves network security and integrity, mitigation of blended threats, while increasing productivity, saving time and money, and more effectively and efficiently attaining policy compliance and enforcement requirements.

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Electronic Acknowledgement Receipt	
EFS ID:	21382695
Application Number:	14499230
International Application Number:	
Confirmation Number:	9215
Title of Invention:	COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION
First Named Inventor/Applicant Name:	Brett M. Oliphant
Customer Number:	127962
Filer:	Brian Dean Owens
Filer Authorized By:	
Attorney Docket Number:	SP1P012
Receipt Date:	03-FEB-2015
Filing Date:	28-SEP-2014
Time Stamp:	13:24:02
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Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Affidavit-Rule 131-pre-AIA (FTI) ONLY	SP1P0012_Affidavit_Signed.pdf	113028 1b86852d9b74a1fb128a123084cdcfdc7fb60fb7	no	2
Warnings:					
Information:					

2	Affidavit-Rule 131-pre-AIA (FTI) ONLY	Annex_A_B.pdf	1421739 79f7576cdc1f98bf112004ec17c118fc6b75a655	no	52

Warnings:

The page size in the PDF is too large. The pages should be 8.5 x 11 or A4. If this PDF is submitted, the pages will be resized upon entry into the Image File Wrapper and may affect subsequent processing

Information:

Total Files Size (in bytes):	1534767

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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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
14/499,230	09/28/2014	Brett M. Oliphant	SP1P012

CONFIRMATION NO. 9215

127962
Brian Owens, Esq.
3712 Kimble Dr
Plano, TX 75025

PUBLICATION NOTICE

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

Publication No.US-2015-0040231-A1
Publication Date:02/05/2015

NOTICE OF PUBLICATION OF APPLICATION

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

The publication may be accessed through the USPTO's publically available Searchable Databases via the Internet at www.uspto.gov. The direct link to access the publication is currently http://www.uspto.gov/patft/.

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Office of Public Records. The Office of Public Records can be reached by telephone at (703) 308-9726 or (800) 972-6382, by facsimile at (703) 305-8759, by mail addressed to the United States Patent and Trademark Office, Office of Public Records, Alexandria, VA 22313-1450 or via the Internet.

In addition, information on the status of the application, including the mailing date of Office actions and the dates of receipt of correspondence filed in the Office, may also be accessed via the Internet through the Patent Electronic Business Center at www.uspto.gov using the public side of the Patent Application Information and Retrieval (PAIR) system. The direct link to access this status information is currently http://pair.uspto.gov/. Prior to publication, such status information is confidential and may only be obtained by applicant using the private side of PAIR.

Further assistance in electronically accessing the publication, or about PAIR, is available by calling the Patent Electronic Business Center at 1-866-217-9197.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
14/499,230	09/28/2014	Brett M. Oliphant	SP1P012	9215

127962 7590 02/09/2015

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

EXAMINER	
HERZOG, MADHURI R	

ART UNIT	PAPER NUMBER
2438	

MAIL DATE	DELIVERY MODE
02/09/2015	PAPER

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

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

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Applicant-Initiated Interview Summary	**Application No.**	**Applicant(s)**	
	14/499,230	OLIPHANT ET AL.	
	Examiner	**Art Unit**	
	MADHURI HERZOG	2438	

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

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

(2) *Brian Owens*. (4)_____.

Date of Interview: *04 February 2015*.

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: *1*.

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 informed the attorney that a further search has to be conducted with respect to the new limitations that have been added to the independent claims. The examiner and attorney also discussed the evidence filed under 37 cfr 1.131 to swear behind the primary reference. The examiner informed the attorney that the evidence will be carefully considered and that the examiner will contact the attorney with any issues that need to be addressed. No agreement was made regarding the allowability of the claims .

Applicant recordation instructions: The formal written reply to the last Office action must include the substance of the interview. (See MPEP section 713.04). If a reply to the last Office action has already been filed, applicant is given a non-extendable period of the longer of one month or thirty days from this interview date, or the mailing date of this interview summary form, whichever is later, to file a statement of the substance of the interview

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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Summary of Record of Interview Requirements

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record
A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews
Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.
All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:
- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:
1) A brief description of the nature of any exhibit shown or any demonstration conducted,
2) an identification of the claims discussed,
3) an identification of the specific prior art discussed,
4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
5) a brief identification of the general thrust of the principal arguments presented to the examiner,
   (The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
6) a general indication of any other pertinent matters discussed, and
7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

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

Application Number	14499230
Filing Date	2014-09-28
First Named Inventor	Brett M. Oliphant
Art Unit	2438
Examiner Name	Herzog, Madhuri R
Attorney Docket Number	SP1P012

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	1	6957348		2005-12-18	Flowers et al.	
	2	6766458		2004-07-20	Harris, et al.	
	3	6907531		2005-06-14	Dodd et al.	
	4	7178166		2007-02-13	Taylor, et al.	
	5	7185232		2007-02-27	Leavy et al.	
	6	7234163		2007-06-19	Rayes et al.	
	7	7257630		2007-08-14	Cole et al.	
	8	7331061		2008-12-02	Ramsey et al.	

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	9	7367054		2008-04-29	Soppera, Andrea	
	10	7496960		2009-02-24	Chen et al.	
	11	8250654		2012-21-08	Kennedy et al.	
	12	8266320		2012-09-11	Bell et al.	
	13	5999179		1999-12-07	Kekic, et al.	

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	3	20030177389		2003-09-18	Albert et al.	
	4	20030233438		2003-12-18	Hutchinson et al.	

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	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.	
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	10	20080127349		2008-05-29	Ormazabal et al.	
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	14	20100241478		2010-09-23	Sahinoglu; Mehmet	
	15	20110138036		2001-06-09	Tyree, David S.	

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	16	20120110671		2012-05-03	Beresnevichiene et al.	
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	18	20120210434		2012-08-16	Curtis et al.	
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	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	☐
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	Attorney Docket Number	SP1P012

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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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☐ 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	/Brian Owens/	Date (YYYY-MM-DD)	2015-03-12
Name/Print	Brian Owens	Registration Number	55,517

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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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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Annex A

Anti-Vulnerability™

Software Development Kit (SDK)

White Paper

Version 1.0

The Intelligent Network Security Integration Platform

SecurityProfiling Inc.
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Lafayette, JN 47901
Toll Free: 888.645.3676
Phone: 765.420.7227

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What is the SOK and Anti-Vulnerability™ Platform?

The SOK was designed to be a simple integration pathway to the back-end Anti-Vulnerability™ platform -consisting of a logic engine and vulnerability data warehouse. It will enable any network security product such as an IDS, scanner, or firewall to intelligently reference and share the same vulnerability data set, and provide complete vulnerability remediation functionalities. Thereby, improving system accuracy and efficiencies, minimizing false positives and false negatives, and providing policy compliance and enforcement capabilities.

Market Requirements

The latest network compromises are combining qualities of viruses, worms, and direct compromise attacks into new blended attacks and may utilize metamorphic or polymorphic abilities to change their signatures to avoid detection.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional point products layered at the perimeter and to internal network machines and devices.

However, the point products rely on signatures or anomalies, producing an ever-increasing quantity of data, including false positive and false negatives. They also lack the intelligence to identify, reference, or remediate the vulnerabilities targeted by the attack. Furthermore, the cost of the acquiring, managing, and maintaining numerous point products is overwhelming the end user.

Therefore, a more sophisticated, intelligent technology is needed to resolve these issues.

Solution

SecurityProfiling now offers an intelligent integration platform and SDK -the first Anti-Vulnerability™ technology to meet market requirements.

Functional Description

1. Integrates point products and provides system intelligence. The same vulnerability data warehouse information is shared with the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability ta rgeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned accurately indicating ifthe machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

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4. **Proactively remediates the vulnerability.** Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

Functionalities Integrated with the SOK

Functionalities that may be inegrated into point products with the SOK:

1. Group Management Functions
2. Client Management Functions
3. Update Management Functions
4. Polling Management Functions
5. Vulnerability Query Functions
6. Conversion Functions

Detailed descriptions are provided in Appendix I, and the SOK User's Guide.

SOK Applications - Example Product Integration

Examples of additional functionalities that may be integrated into point products via the SOK for enterprise and small office home.office (SOHO) network applications:

1. Patch Deployment Remotely remediates network vulnerabilities and provides policy compliance and enforcement capabilities. See *SecurityProfiling 's* SysUpdate™ white paper and trial download online. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix upgrades.

2. IDS Eliminates false positives and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities.

3. Scanner Eliminates false positive and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities.

4. Firewall – Eliminates false positive and false negatives, preventing the security system from denying valid traffic to the organization – self-inflicted denial of service attacks • and adds vulnerability remediation, and policy compliance and enforcement functionalities.

5. Vulnerability Management Same as L, above.

6. Multiple Products: IDS, Scanner, and Firewall Each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats.

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7. Client Security – Attain the additional functionalities and benefits, as the multiple products listed above, yet are even more effective since they additionally communicate and share information directly with each other. They will also · attain vulnerability identification, reference, remediation, and policy compliance and enforcement capabilities. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix upgrades.

8. Change Management – Will automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and automatically provide all necessary documentation and Jogging required.

Lastly, the Anti-Vulnerability platform may also provide product upgrades and signature updates to each of these various security products.

Components

The Anti-VulnerabilityTM platform is comprised of the platform software components: SDK, Client Agent, Logic Engine, and Data Warehouse. Network Operations Center (NOC) Servers periodically synchronize the customers' servers with the latest vulnerability and update data. Please reference the Platform Component Diagram on page 9.

System Requirements

There are two system requirements: TCP/IP connectivity, and supported network machines and devices. Platforms supported are:

- All Windows Operating Systems and their applications
- All UNIX variants
- Cisco routers and firewalls
- Toshiba netWork devices
- Netgear network devices
- Linksys network devices, including wireless access points

Platform support is scalable to any network size or architecture; consumer, small office home office (SOHO), enterprise, and distributed networks.

Support for additional machines and devices are in development and will be rolled out on an on-going basis.

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What is the SDK and Anti-Vulnerability™ Platform?

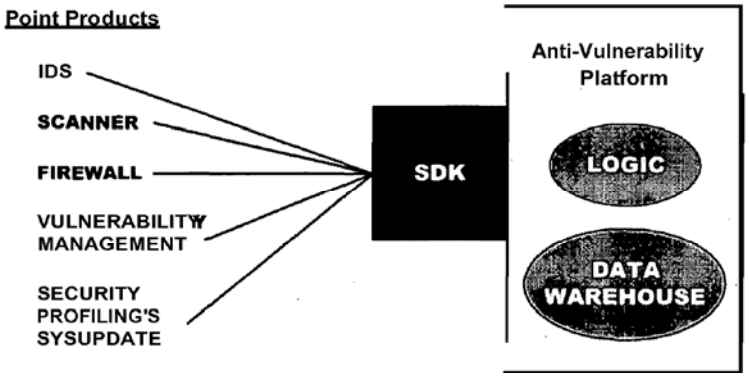
The SOK was designed to be a simple integration pathway to the back-end Anti-Vulnerability™ platfonn -consisting of a logic engine and vulnerability data warehouse. It will enable any network security product such as an IDS, scanner, or firewall to intelligently reference and share the same vulnerability data set, and provide complete vulnerability remediation functionalities. Thereby, improving system accuracy and efficiencies, minimizing false positives and false negatives, apd providing policy compliance and enforcement capabilities.

The technology is sophisticated, yet all of the details of managing the communications are implemented in the library, requiring the developer to only learn a few simple function calls as detailed in section five, and the SOK User's Guide. A product architect simply chooses the functionality desired, inserts the provided functionality SOK code into the product code. The SOK code will then query via the logic engine the Anti-Vulnerability™ data warehouse, and in turn will return an answer to the point product. The architect can then show the results in any fonnat desired in the product's interface. Full vulnerability remediation and policy compliance and enforcement functionalities may be integrated as well.

IIence, the SOK serves as the architect's tool belt or building blocks needed to quickly and transparently access the Anti-Vulnerability™ backend and seamlessly integrate the desired functionality into the product without changing or complicating the end user experience.

Furthermore, the SOK enables system architects to use the Anti-Vulnerability™ platform to integrate multiple security products and functionalities. Products may then share the same vulnerability data set, improve system automation and accuracy – increasing efficiencies and minimizing false positives and false negatives, and coordinate policy compliance functionality.

Figure I- SOK and Platform Overview Diagram



For more detail, see the Platform Component Diagram on page 9, and the Functionality Query Flow Chart on page 14.

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Networks are probed at an ever-increasing frequency for vulnerabilities, which may be subsequently exploited with compromise attacks. To protect the network, administrators have traditionally set up perimeer defense strategies.

These strategies generally call for network managers to lock down core servers, and monitor/scan/filter all incoming and outgoing traffic at the network perimeter with several point products such as antivirus and firewalls to identify and attempt to neutralize hackers and malicious code. In the past, these strategies worked well, however new threats are becoming more complex.

The latest malicious code may combine qualities of viruses, worms, and direct compromise attacks into new *blended* attacks. Virus payloads are becoming more complex and by using metamorphic or polymorphic abilities, viruses are able to change their signatures to avoid the fingerprint-type filtering that most applications employ.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional point products layered at the perimeter and to internal network machines and devices. Such point products include anti-virus, firewall, scanners, and network and host intrusion detection systems.

Each of these systems is based on specific signatures, rules, or anomalies of each attack and their variants, and do not identify and remediate the specific network vulnerabilities the attacks is targeting. So each attack, and its variants, must be identified and analyzed, a signature prepared, then finally deployed to each point product on each customer's network. This process is uncoordinated among multiple disparate systems, and creates an ever-increasing number of signatures producing more and more attack alerts requiring immediate attention many of which are erroneous.

Additionally, to proactively remediate the vulnerabilities the malicious code is targeting, administrators must quickly and diligently update or "patch" each network machine and device, which is a time-consuming and costly process. Further compounding the burden on administrators, best practice and government compliance directives now require higher standards of network security and integrity to protect consumer privacy, and they must be documented with change tracking and audit trail reports.

Therefore, it is increasingly difficult and costly to effectively mitigate new threats and manage numerous systems -particularly in an environment of rising security standards and policy compliance requirements.

Thus, the multi-tiered network defense strategy is falling short primarily for four reasons:

1. The inability of multi-tiered point products to communicate and share information necessary to mitigate blended threats, and minimize false positives and false negatives.

2. The vulnerability targeted by malicious code is not accurately identified nor proactively remediated.

3. The associated excessive aggregate cost of ownership of multiple systems.

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4. The excessive administrative burden and cost of managing and maintaining multiple systems.

Hence, there is a need to integrate systems, share infonnation intelligently to better defend against blended threats, reduce management and cost requirements, and automate vulnerability identification and remediation functionalities, as presented in the high-level requirements.

New Technology High-Level Requirements

A new technology is needed to meet market requirements:

1. Integrate point products to share infonnation
2. Provide system intelligence
3. Remediate network vulnerabilities

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Solution

SecurityProfiling now offers an intelligent integration platform and SOK the first Anti-Vulnerability™ technology to meet market requirements. The SOK and Anti-VulnerabiJityTM platform will enable product architects to integrate the ability for their products to intelligently reference and share information from the same vulnerability data set, provide vulnerability identification and remediation functionalities, and efficiently meet policy compliance and enforcement requirements.

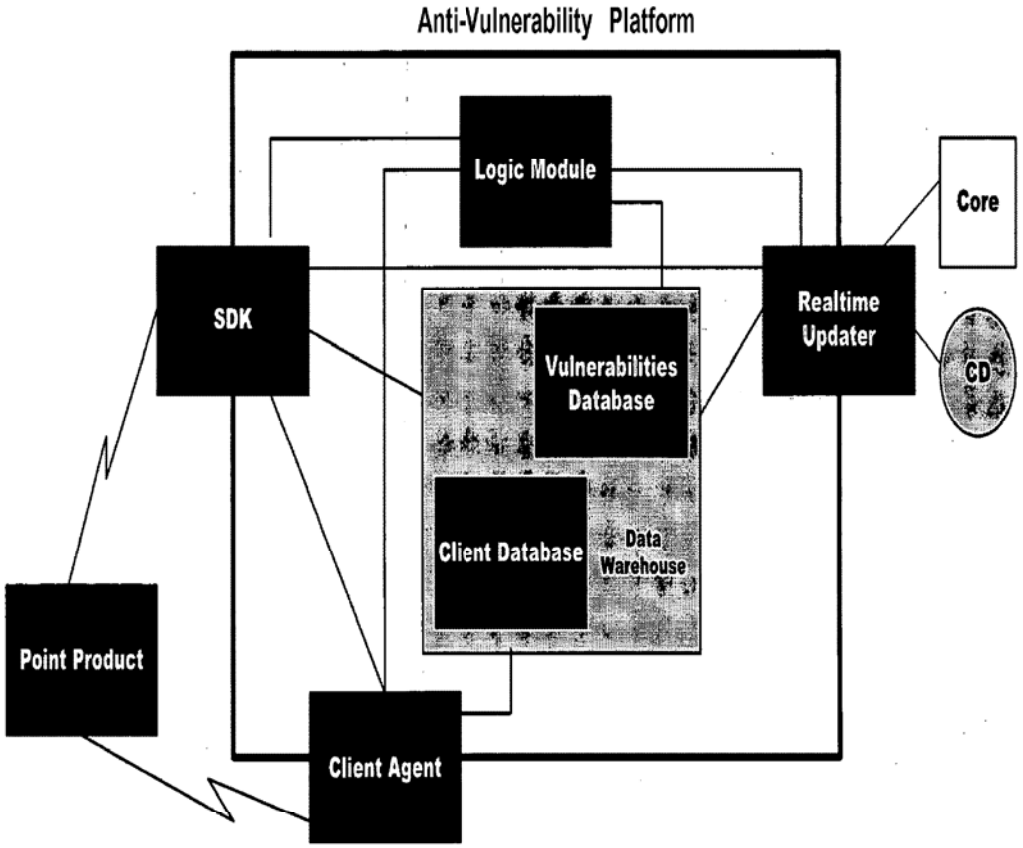
The Anti-Vulnerability™ platform is a complimentary network security technology. When integrated into the defense strategy, it adds intelligence that more accurately and efficiently mitigates blended threats and offloads the time-consuming functions that burden network administrators.

The platform enables point products to share information via its proprietary logic engine to automatically cross-reference the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Previously separate and uncoordinated processes are now more intelligent and automated, resulting in improved system accuracy and efficiency. Therefore the need to layer more and more point products is reduced, in-tum decreasing the amount of data particularly erroneous data to manage. Subsequently, the costs to acquire, operate; and manage the additional multiple point products are also reduced.

The platform will also remotely and proactively remediate vulnerabilities by first determining which updates are needed and compatible with each machine or device, taking into account the OS, applications, or firmware installed. Then, the updates may be deployed, installed, and validated. Thereby, policy compliance is effectively and efficiently enforced, and documented.

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Figure 2 – SDK and Platform Component Diagram



Anti-Vulnerability Engine
SOK
Logic Module

Anti-Vulnerability Service
Vulnerabilities Database
Realtime Updater
Core
CD

Features & Benefits

Features:

The Anti-Vulnerability™ platform and SOK fulfills market requirements noted in the previous section.

1. Integrates point products and provides system intelligence. The same vulnerability data warehouse infonnation is shared to the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability targeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned indicating if the machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

4. Proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

These functionalities will be presented in more detail in the next section Functionalities Integrated With the SOK.

Benefits:

Blended attacks are more effectively mitigated and the overwhelming management and maintenance burden on administrators to purchase, operate, and maintain multiple point products is reduced, while increasing productivity, reducing costs, and more effectively and efficiently meeting policy compliance and enforcement requirements.

Benefits to technology providers and end users:

Security Companies

- Supplements existing technology to better defend against blended attacks

  Intelligently accesses the vulnerability data warehouse, and remediates vulnerabilities.

- Supports both the enterprise and SOHO networks

  Data warehouse contains vulnerabilities and updates for many machines and devices that operate on both enterprise and SOHO networks. See the Supported Platfonns subsection for more details.

- Minimize development time-speed to market

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SDK functionalities may be integrated with sample code provided in the SDK User's Guide.

- Minimize end user education/ absorption costs

  The Anti-Vulnerability™ platform functionalities are transparently integrated, retaining pre-existing architecture, processes, and interfaces. Therefore, the end user experience remains the same, or improved with simplified or automated processes.

- Offers policy compliance and enforcement functionality

  Vulnerabilities may be automatically remediated, verified and documented, therefore enforcing compliance.

Product Architects

- Quick and easy integration process

  Simply insert the SDK code into the product code as detailed in the SDK User's Guide.

- The SDK adds functionality to products transparently – retaining pre-existing architecture and end user interfaces

  The SDK integrates functional ities that return answers to the functional queries from the logic engine and data warehouse. The responses then may be incorporated into existing product user interfaces at the discretion of the architect.

End Users

- No additional software or hardware implementation costs

  Anti-Vulnerability™ functionalities may be integrated into existing product platforms.

- Reduces cost of ownership of multi point products

  Shared vulnerability data sets and addd vul_nerability remediation functionalities may reduce the number of point products needed to adequately attain defense strategy requirements.

- Reduces point product management and maintenance costs

  Increased accuracy of vulnerability identification, remediation and policy enforcement, and reduction of false positives, false negatives and denial of service (DoS), significantly reduces management time and costs.

- Manage more machines and devices on the network through one portal

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Vulnerability remediation and policy compliance and enforcement may be integrated with existing security point products, and their respective interfaces.

- User experience remains the same .–additional time or costs to understand and execute new technologies are minimized

  Anti-Vulnerability™ functionalities may be integrated transparently and seamlessly, and the pre-existing operational processes and user interfaces are virtually unchanged.

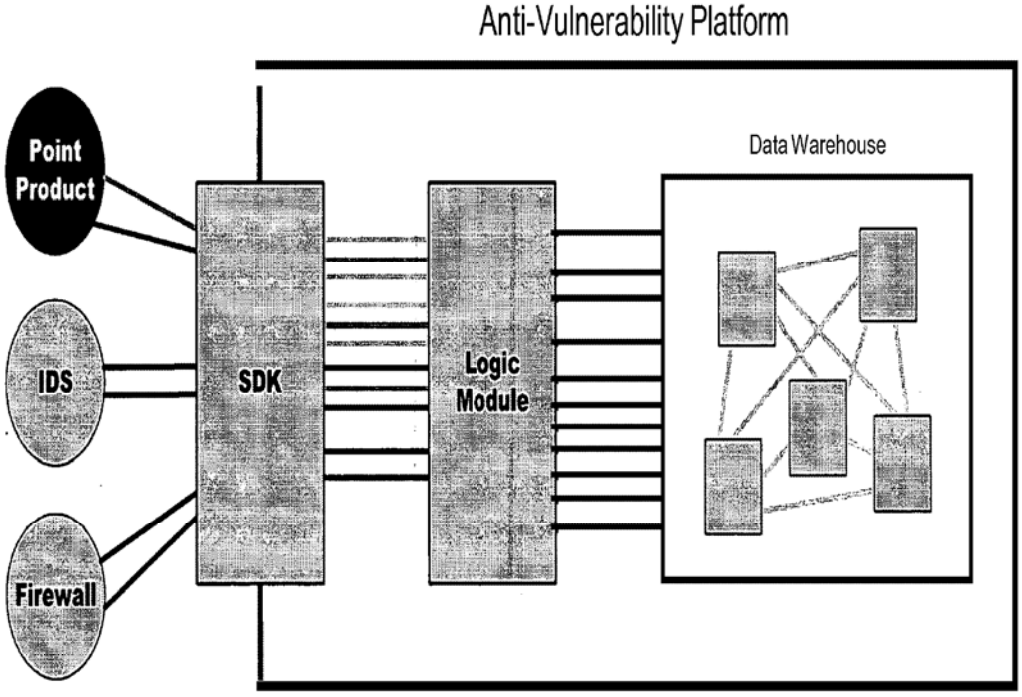
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This section provides the functionality query flow chart, and the SDK functionalities, by group, that may be integrated into point products.

The functionalities access the platform with queries to generate the desired answers. How queries flow through the platform is shown on the next page.

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Figure 3 – Functionality Query Flow Chart



- *Point Product* uses *SDK* functionality query
- *SDK* queries the *Logic Module*
- D *Logic* queries the *Data Warehouse*
- I:J *Data warehouse* queries its databases
- III Returns data to *Logic Module*
- And answer via the *SDK* to the *Point Product*

An overview of the functions that may be integrated via the SOK is provided below. The functions are presented in groups, and a full listing with parameters and returned answer fonnat is presented in Appendix I. More detail and step-by-step integration procedures are presented in the SOK User's Guide.

Functionality Groups:

1. Group Management Functions
2. Client Management Functions
3. Hot Fix Management Functions
4. Polling Functions
5. Vulnerability Query Functions
6. Conversion Functions

1. Group Management Functions

   a. CreateGroup -This function creates a new group.
   b. GetGroups -This function returns a list of all configured groups.
   c. DeleteG roup -This function removes a group.
   c:i. GetGroupPolicy -This function returns the policy for a group
   e. SetGroupPolicy -This functions sets a new policy for a group
   f. GetClientslnGroup -This function retrieves a list of clients that are members of a specific group
   g. AddClientToGroup -This function adds a client to a group
   h. RemoveClientFromGroup -This function removes a client from a group.

2. Client Management Functions

   a. GetClientHardwareStats -This function retrieves information about the client's hardware configuration
   b. GetClientInstalledSoftware -This function retrieves infonnation about software installed on the client.
   c. GetClientInstalledHotfixes -This function retrieves a list of hot fixes that were verified as installed on the last polling
   d. GetClientPendingUpdates -This function returns a list of hot fixes that the client needs (according to group policy) as of the last polling.
   e. GetClientLogs -This function returns a list of log entries for a particular client.

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f. ResetClient – This function causes the client to reset, thus forcing it to regenerate all information about its state.

g. DeleteClient This function removes all information pertaining to this client from the Anti-Vulnerability™ database.

h. GetClientHotFixStatus -This function retrieves information about a particular hot fix on a machine, such as: is it needed, is it installed, is it pending, is it send, etc.

3. Update Management Functions

a. GetHotFixInfo -This function retrieves detailed information about a particular update.

b. InstallHotFixForClient This function installs an update on a particular client if applicable.

c. InstallHotFixForGroup -This function installs an update on all clients in a group that need it.

d. InstallAllPendingClient This function installs all pending updates on a client.

e. InstallAllPendingGroup This function installs all pending updates on all clients in a group.

f. RejectHotFixForClient -This function rejects an update for a particular client.

g. RejectHotFixForGroup -This function rejects an update on all clients in a particular group.

h. RequeueHotFixForClient -This function cancels a previous update rejection for a particular client.

i. RequeueHotFixForGroup -This function cancels a previous update rejection for all clients in a particular group.

j. RemoveHotFixFromClient This function removes a previously installed update

k. RemoveHotFixFromGroup This function removes an update on all clients in a group that have that hot fix installed.

4. Polling Functions

a. PollClient -This function causes a client to be polled by the onsite server immediately.

b. PollGroup – This function causes all the clients in a particular group to be polled immediately.

c. PollAll This function causes all clients to be polled immediately.

d. IsPolling -This function returns TRUE if the on-site server is in the process of polling clients.

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5. Vulnerability Query Functions

   a. QueryVulnerabilityByCveID – This function retrieves whether or not the client is vulnerable to a particular CVE id.

   b. QueryVulnerabilityByQID -This function retrieves whether or not the client is vulnerable to a particular Q id.

   c. QueryVulnerabilityByMSID – This function retrieves whether or not the client is vulnerable to a particular MS id.

   d. QueryVulnerabilityByBugtraqID -This function retrieves whether or not the client is vulnerable to a particular Bugtraq id.

6. Conversion Functions

   a. CveID2QID -This function converts a CVE id to a corresponding Q id.

   b. CveID2MSID -This function converts a CVE id to a corresponding MS id.

   c. CveID2BugtraqID -This function converts a CVE id to a corresponding Bugtraq id.

   d. QID2CveID – This function converts a Q id to a corresponding CVE id.

   e. QID2MSID - This function converts a Q id to a corresponding MS id.

   f. QID2BugtraqID -This function converts a Q id to a corresponding Bugtraq id.

   g. MSID2CveID - This function converts an MS id to a corresponding CVE id.

   h. MSID2QID -This function converts an MS id to a corresponding Q id.

   i. MSID2BugtraqID – This function converts an MS id to a corresponding Bugtraq id.

   j. BugtraqID2CveID -This function converts a Bugtraq id to a corresponding CVE id.

   k. BugtraqID2QID -This function converts a Bugtraq id to a corresponding Q id.

   l. BugtraqID2MSID -This function converts a Bugtraq id to a corresponding MS id.

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This section provides examples of SOK applications, and their benefits, when the functionalities from the previous section are integrated into individual or multiple products.

1. Patch Deployment

SecurityProfiling 's SysUpdate™ vulnerability remediation solution has incorporated virtually all of the functionalities listed in the previous section. A white paper and trial download are available online that demonstrate its functionalities and benefits.

Benefits:

The SOK and platform enables products to add accurate vulnerability identification, remediation, verification, and policy compliance.

With the SOK, the product will gain intelligence, accuracy and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix updates for widely distributed programs, which will optimize system performance and enhance the consumer experience.

2. IDS

IDS products attempt to identify malicious code by signatures at both the network and host client level. While they may be able to identify its CVE ID or other vulnerability identifier, and target, they generally do not have the intelligence to determine if the any of the machines on the network are susceptible to that attack, or with finer granularity, if any machine has a specific vulnerability to that specific attack.

For example, if the attack is a Window based attack targeting a Windows machine; is the targeted machine actually running Windows, and if so, is the machine vulnerable to the attack? IDS systems do not have the intelligence to answer these questions. Lastly, if the targeted machine is vulnerable - it remains unremediated – the IDS system does not have the capability to remediate it.

Benefits:

With the SOK, a product architect can integrate functionalities listed in the previous section to enable the IDS to access the Anti-Vulnerability™ logic engine and platform. It will then have the intelligence to determine if any machine on the network is susceptible to the attack, remediate the vulnerability, mitigate the attack, and verify policy compliance.

Now, if no machines were susceptible to the attack, it is identified as an event but not an incident, no further data or alert is generated, and a management response is not required.

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With the SOK and platform, the product will gain intelligence, accuracy, and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks.

3. Scanners

Vulnerability scanners assess each machine on the network for vulnerabilities, and create lists of potential vulnerabilities to the system managers. The lists commonly contain many false positives and false negatives, burdening the system and managers with inaccuracies.

Benefits:

With the SOK, a product architect can integrate functionalities listed in the previous section to enable the scanner to access the Anti-Vulnerability™ logic engine and platform, and then have the intelligence to determine if the machine has actual vulnerabilities, remediate them, and verify policy compliance.

With the SOK and platform, the product will gain intelligence, accuracy, and efficiency, eliminated false positives and false negatives, and ensured policy compliance, thereby saving the organization time and money.

4. Firewall

"Smart" firewalls are based in part on signatures and other similar functionalities as the IDS products described above.

Benefits:

With the SOK and platform, the firewall can determine whether an attack is valid or a false positive, thereby preventing the security system from denying valid traffic to the organization self-inflicted DOS attacks.

Such functionalities and benefits are available for both the enterprise and SOHO networks.

5. Vulnerability Management

Vulnerability Management products enable managers to set policy and identify potential network vulnerabilities. They typically do not accurately identify each vulnerability on each network machine and device, nor remediate each vulnerability, meeting policy compliance enforcement requirements.

Benefits:

The SOK and platform offer . similar functionalities and benefits as the patch deployment products described above. In short, it enables products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement. Such functionalities and benefits are available for both the enterprise and SOHO networks.

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6. Multiple Products: IDS, Scanner, Firewall, and Vulnerability Management

Each product functions as the individual products noted above. Each may be deployed and operated on the network in a multi-tiered network defense strategy. They may be disparate system, and their signatures and update deployment schedules may vary. Therefore, the probability of mitigating a new and complex threat decreases, while management requirements and cost increases.

Benefits:

With the SOK and platfonn, they each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats. It will also enable the products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement functionalities.

7. Client Security

ClieQt security products offer an integrated antivirus, firewall, and IDS functionality.

With the SOK and platform, they attain the additional functionalities· and benefits as the multiple products listed above, yet are even more effective since they additionally communicate and share information directly with each other. They will also attain vulnerability identification, reference, remediation, and policy compliance and enforcement capabilities.

Such functionalities and benefits are available for both the enterprise and SOHO networks. And, for the consumer market, it will additionally support non-security related updates such as application version, perfonnance, and bug-fix updates for widely distributed programs, which will optimize system perfonnance and enhance the consumer experience.

8. Change Management

Existing change management {CM) applications control the documentation and logging of change throughout the enterprise. These applications ensure that an organization maintains consistent records of what happened and when. Currently administrators must independently recognize that a security patch/update must be deployed to a computer or group of computers. The user enters the request in the system, through the pipe-lined process of change management the request would be approved, the patch/update would be manually installed by a user, then documented in the change management software that the process has been completed. While CM software assists in documentation, very little if any assistance is provided in identifying the patches/updates needed, nor verifying correct function after the update/patch is installed.

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Benefits:

With the SDK and platform, change management integration will greatly streamline this process further reducing total cost of ownership, ease of use, and a higher standard of documentation. The products will then automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and .automatically provide all necessary documentation and logging required.

Lastly, the Anti-Vulnerability platform may also provide product upgrades and signature updates to each of these various security products • including all of the Anti-Vulnerability technology benefits such as ensuring compliance of signature versions, logging, reporting, and verification of installation.

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This section consists of a detailed description of the platform's components, the NOC Servers, and system requirements:

Client Agent

Logic Engine

Data Warehouse

Network Operations Center (NOC) Servers

System Requirements

Client Agent

The agent is remotely deployed to each machine or device on the network, and has two primary functions.

1. Accurately identifies the OS, applications, firmware, and updates installed on each machine or device.

2. Installs the updates.

Identifies Applications Installed

The client agent accurately identifies and inventories the operating system, applications, and updates installed on each machine. Periodically, the system polls each client agent and the configuration data is transferred back to the data warehouse. The logic engine determines and deploys the appropriate updates to each machine. (More detail of this process is provided in the Logic Engine sub-section, on the next page.)

Installs the Updates

The client agent installs the updates, and verifies they are running correctly.

This cycle is repeated each polling interval. Should an update not be installed properly, or even if the user (or intruder) accidentally or purposely deletes an update, the system will re-install it.

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Client Agent Component	Application size:	The client agent is less than 1 MB, and is virtually undetectable.
	Application Type:	Automatic Service
	Connectivity Required:	TCP/IP
	Compatibility/Stability:	In lab testing, the agent has been shown to be compatible with other agents, such as anti-virus agents. To date, customers have not encountered any problems.
	User Options:	Run queued updates, only.
	Security:	Updates sent to each client in an AES-encrypted format.

Logic Engine

The logic engine, or system intelligence, cross references the vulnerability that the threat is targeting and the targeted machine or device vulnerabilities through the data warehouse, and returns the answer to the point product.

It also determines which updates are needed and compatible with each machine's configuration.

Tht? .logic engine cross-references and matches each client's configuration with the information for each update, and determines which updates are appropriate. It then takes these results and filters them through the group policy to determine which updates should actually be installed on the client. Lastly the logic engine once more references the group policy to determine what action (if any) to take, and then performs this action at the appropriate time.

Data Warehouse

This component has four primary functions:

1. For vulnerability remediation functionalities, periodically polls the clients for configuration data.
2. Maintains the vulnerability database.
3. Maintains the update database.
4. Periodically polls the NOC server, and receives updates.

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Client Agent Polling
The client agents are periodically polled for client configuration data. Each client responds with their respective OS, applications, firmware and updates installed, which will be cross-referenced by the logic engine.

Vulnerability Database
The data warehouse fully maintains a full vulnerability database. The database is a self-configuring, self-populating, maintenance-free database, and does not require administrator inputs or interaction. The database periodically synchronizes itself with the NOC servers' database.

The database was designed to accommodate and organize all vulnerabilities across the network with a proprietary schema. The schema was also designed to be accessible to unique queries to cross-reference its data. The logic engine determines which fields are to be queried, and returns the processed data results.

Update Database
The on-site server component fully maintains an update database. The database is a self-configuring, self-populating, maintenance-free database, and does not require administrator inputs or interaction. The database periodically synchronizes itself with the NOC servers' database, as noted below.

NOC Server Polling
The NOC servers are polled periodically, and operate on a "pull" traffic network. The only information leaving the customer's site is an encrypted key, used for authentication by the NOC servers. Once authenticated, the servers are synchronized with the latest vulnerabilities and updates. These files are sent in an AES-encrypted format.

Server Component	Space required:	The server component requires 40 GB of space.
	Security:	Updates pulled from NOC Servers are in.an AES-encrypted format.
	Polling Inte.rval:	The on-site server polls the clients at any interval selected by the administrator.

Network Operations Center (NOC) Servers

The vulnerabilities and updates and their respective guidelines are archived in the Anti-Vulnerability™ NOC servers' database and periodically distributed to the.customer's site.

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System Requirements

There are two system requirements: TCP/IP connectivity, and network platfonns supported.

The application is scalable to any network size or architecture, and only requires TCP/IP connectivity between the client and the server.

The platfonn is compatible with any of the following machines or devices:

- Windows
- All UNIX variants
- Cisco routers and firewalls
- Toshiba network devices
- Netgear network devices
- Linksys network devices, including wireless access points

Support for additional machines and devices are in development and will be rolled out on an on-going basis.

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Conclusion

The Anti-Vulnerability™ platform and SOK is an intelligent technology that will supplement any existing defense strategy. It integrates point products so they may share the same vulnerability data set to improve automation and accuracy – increasing efficiencies and minimizing false positives and false negatives. It also enables remote identification, management, and remediation of network vulnerabilities, and provides update deployment, validation, and reporting capabilities. Thereby, the platform and SOK improves network security and integrity, mitigation of blended threats, while increasing productivity, saving time and money, and more effectively and efficiently attaining policy compliance and enforcement requirements.

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Appendix I – Integration Functionalities, by Group

Anti-Vulnerability™ functions that are accessible via the SDK are presented in groups, as follows:

A. **Group Management Functions**
B. **Client Management Functions**
C. **Hot Fix Management Functions**
D. **Polling Functions**
E. **Vulnerability Query Functions**
F. **Conversion Functions**

A. Group Management Functions

- CreateGroup
  Parameters: GROUP structure defining the new group.
  Returns: Success or failure
  Description: This function creates a new group.
- GetGroups
  Parameters: None
  Returns: An array of GROUP structures.
  Description: This function returns a list of all configured groups.
- DeleteG roup
  Parameters: GROUP structure to be deleted.
  Returns: Success or failure
  Description: This function removes a group.
- GetGroupPolicy
  Parameters: GROUP structure to get the corresponding POLICY structure from.
  Returns: POLICY structure corresponding to the passed GROUP
  Description: This function returns the policy for a group.
- SetGrou pPolicy
  Parameters: GROUP structure to receive new policy, POLICY structure to set for the group.
  Returns: Success or failure
  Description: This functions sets a new policy for a group.
- GetClientsInGroup
  Parameters: GROUP structure to retrieve the clients from
  Returns: Array of CLIENT structures belonging to the GROUP.

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Description: This function retrieves a list of clients that are members of a specifie group.

- AddClientToGroup
  Parameters: CLIENT structure to add to a group, GROUP structure to add the client to.
  Returns: Success or failure
  Description: This function adds a client to a group.

- RemoveClientFromGroup
  Parameters: CLIENT structure to remove from group, GROUP structure to remove the client from
  Returns: Success or failure
  Description. This function removes a client from a group.

B. Client Management Functions

- GetClientHardwareStats
  Parameters: CLIENT structure to get information from.
  Returns: CLIENT_HARDWARE structure describing the client's hardware configuration
  Description: This function retrieves information about the client's hardware configuration

- GetClientInstalledSoftware
  Parameters: CLIENT structure to get information from.
  Returns: CLIENT_SOFTWARE structure describing softWare install on the client.
  Description: This function retrieves information about software installed on the client.

- GetClientInstalledHotfixes
  Parameters: CLIENT structure to get information from.
  Returns: Array of HOTFIX structures corresponding to the installed hot fixes on the client
  Description: This function retrieves a list of hot fixes that were verified as installed on the last polling.

- GetClientPendingU pdates
  Parameters: C.LIENT structure to get information from.
  Returns: Array of HOTFIX structures corresponding to the pending hot fixes for the client
  Description: This function returns a list of hot fixes that the client needs (according to group policy) as of the last polling.

- GetClientLogs
  Parameters: CLIENT structure to get information from
  Returns: Array of CLIENT_LOG structures containing log entries for the client.
  Description: This function returns a list of log entries for a particular client.

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- ResetClient
  Parameters: CLIENT structure to reset.
  Returns: Success or failure
  Description: This function causes the client to reset, thus forcing it to regenerate all information about its state.

- DeleteClient
  Parameters: CLIENT structure to delete.
  Returns: Success or failure
  Description: This function removes all information pertaining to this client from the Anti-Vulnerability™ database.

- GetClientHotFixStatus
  Parameters: CLIENT structure to get information from, HOTFIX structure to get information about
  Returns: Code to indicate the status of the hot fix with respect to that client, or failure.
  Description: This function retrieves information about a particular hot fix on a machine, such as: is it needed, is it installed, is it pending, is it send, etc.

C. Update Management Functions

- GetHotFixInfo
  Parameters: HOTFIX structure to get information from
  Returns: HOTFIX_INFO structure describing the update
  Description: This function retrieves detailed information about a particular update.

- InstallHotFixForClient
  Parameters: HOTFIX structure to install, CLIENT structure to install the update on.
  Returns: Success or failure.
  Description: This function installs an update on a particular client if applicable.

- InstallHotFixForGroup
  Parameters: HOTFIX structure to install, GROUP structure to deploy the update to.
  Returns: Success or failure
  Description: This function installs an update on all clients in a group that need it.

- InstallAllPendingClient
  Parameters: CLIENT structure to install update on
  Returns: Success or failure
  Description: This function installs all pending updates on a client.

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- **InstallAllPendingGroup**
  Parameters: GROUP to deploy update to.
  Returns: Success or failure
  Description: This function installs all pending updates on all clients in a group.

- **RejectHotFixForClient**
  Parameters: HOTFIX structure to reject, CLIENT structure to reject update on.
  Returns: Success or failure
  Description: This function rejects an update for a particular client.

- **RejectHotFixForGroup**
  Parameters: HOTFIX structure to reject, GROUP structure to reject update for.
  Returns: Success or failure
  Description: This function rejects an update on all clients in a particular group.

- **RequeueHotFixForClient**
  Parameters: HOTFIX structure to requeue, CLIENT structure to requeue the update on.
  Returns: Success or failure. ,
  Description: This function cancels a previous update rejection for a particular client.

- **RequeueHotFixForGroup**
  Parameters: HOTFIX structure to requeue, GROUP structure to requeue the update for.
  Returns: Success or failure
  Description: This function cancels a previous update rejection for all clients in a particular group.

- **RemoveHotFixFromClient**
  Parameters: HOTFIX structure to remove, CLIENT structure to remove the update from.
  Returns: Success or failure
  Description: This function removes a previously installed update

- **RemoveHotFixFromGroup**
  Parameters: HOTFIX structure to remove, GROUP structure to remove the update from
  Returns: Success or failure
  Description: This function removes an update on all clients in a group that have that hot fix installed.

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D. Polling Functions

- **PollClient**
  Parameters: CLIENT structure to poll
  Returns: Success or failure
  Description: This function causes a client to be polled by the onsite server immediately.

- **PollGroup**
  Parameters: GROUP structure to poll
  Returns: Success or failure
  Description: This function causes all the clients in a particular group to be polled immediately.

- **PollAll**
  Parameters: NONE
  Returns: Success or failure
  Description: This function causes all clients to be polled immediately.

- **IsPolling**
  Parameters: NONE
  Returns: TRUE or FALSE
  Description: This function returns TRUE if the OnSite Server is in the process of polling clients.

E. Vulnerability Query Functions

- **QueryVulnerabilityByCveID**
  Parameters: CLIENT structure to get information from, CVEID structure fo get information about
  Returns: Code indicating status of machine with respect to the CVE id
  Description: This function retrieves whether or not the client is vulnerable to a particular CVE id.

- **QueryVulnerabilityByQID**
  Parameters: CLIENT structure to get information from, QID structure to get information about.
  Returns: Code indicating status of machine with respect to the Q id
  Description: This function retrieves whether or not the client is vulnerable to a particular Q id.

- **QueryVulnerabilityByMSID**
  Parameters: CLIENT structure to get information from, MSID structure to get information about.
  Returns: Code indicating status of machine with respect to the MS id
  Description: This function retrieves whether or not the client is vulnerable to !lparticular MS id

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- QueryVulnerabilityByBugtraqID
  Parameters: CLIENT structure to get information from, BUGTRAQID structure to get information about.
  Returns: Code indicating status of machine with respect to the Bugtraq id
  Description: This function retrieves whether or not the client is vulnerable to a particular Bugtraq id.

F. Conversion Functions

- CveID2QID
  Parameters: CVEID Structure to convert
  Returns: QID Structure corresponding to a CVE id
  Description: This function converts a CVE id to a corresponding Q id.

- CveID2MSID
  Parameters: CVEID Structure to convert
  Returns: MSID Structure corresponding to a CVE id
  Description: This function converts a CVE id to a corresponding MS id.

- CveID2BugtraqID
  Parameters: CVEID Structure to convert
  Returns: BUGTRAQID Structure corresponding to a CVE id
  Description: This function converts a CVE id to a corresponding Bugtraq id.

- QID2CveID
  Parameters: QID Structure to convert
  Returns: CVEID Structure corresponding to a Q id
  Description: This function converts a Q id to a corresponding CVE id.

- QID2MSID
  Parameters: QID Structure to convert
  Returns: MSID Structure corresponding to a Q id
  Description: This function converts a Q id to a corresponding MS id.

- QID2BugtraqID
  Parameters: QID Structure to convert
  Returns: BUGTRAQID Structure corresponding to a Q id
  Description: This function converts a Q id to a corresponding Bugtraq id.

- MSID2CveID
  Parameters: MSID Structure to convert
  Returns: CVEID Structure corresponding to an MS id
  Description: This function converts an MS .id to a corresponding CVE id.

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- **MSID2QID**
  Parameters: MSID Structure to convert
  Returns: QID Structure corresponding to an MS id
  Description: This function converts an MS id to a corresponding Q id.

- **MSID2BugtraqID**
  Parameters: MSID Structure to convert
  Returns: BU.GTRAQID Structure corresponding to an MS id
  Description: This function converts an MS id to a corresponding Bugtraq id.

- **BugtraqlD2CveID**
  Parameters: BUGTRAQID Structure to convert
  Returns: CVEID Structure corresponding to a Bugtraq id
  Description: This function converts a Bugtraq id to a corresponding CVE id.

- **Bugtraq1D2QID**
  Parameters: BUGTRAQID Structure to convert
  Returns: QID Structure corresponding to a Bugtraq id
  Description: This function converts a Bugtraq id to a corresponding Q id.

- **BugtraqlD2MSID**
  Parameters: BUGTRAQID Structure to convert
  Returns: MSID Structure corresponding to a Bugtraq id
  Description: This function converts a Bugtraq id to a corresponding MS id.

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For further infonnation regarding SecurityProfiling's products and services, please contact us at:



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Annex B

What is Anti-Vulnerability™ Technology?

Anti-Vulnerability™ technology is a platform and underlying back end that consists of a logic engine and vulnerability data warehouse. (Reference the diagram on page 8.) It will integrate with and enable network security components such as IDS, scanners, or firewalls to intelligently reference and share the same vulnerability data set, and independently provide complete vulnerability remediation (patching) functionalities such as that provided by the automated updating application, SysUpdate™. Thereby, the technology will improve system accuracy and efficiencies, minimize false positives and false negatives, and provide policy compliance and enforcement capabilities.

Market Requirements

The latest network compromises are combining qualities of viruses, worms, and direct compromise attacks into new blended attacks and may utilize metamorphic or polymorphic abilities to change their signatures to avoid detection.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional network security components layered at the perimeter and to internal network machines and devices.

However, the network security components rely on signatures or anomalies, producing an ever-increasing quantity of data, including false positive and false negatives. They also lack the intelligence to identify, reference, or remediate the vulnerabilities targeted by the attack. Furthermore, the cost of the acquiring, managing, and maintaining numerous network security components is overwhelming the end user.

Therefore, a more sophisticated, intelligent technology is needed to resolve these issues.

Solution

SecurityProfiling now offers an intelligent integration platform and SOK -the first Anti-Vulnerability™ technology to meet market requirements.

Functional Description

1. Enhances security components and provides system intelligence. The same vulnerability data warehouse information is shared with the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability ta rgeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned accurately indicating if the machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

4. Proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

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Anti-Vulnerability™ Technology Applications

Examples of Anti-Vulnerability™ applications that may be integrated into network security components for enterprise and small office home office (SOHO) networks:

1. Update or Patch Deployment Remotely remediates network vulnerabilities and provides policy compliance and enforcement capabilities. See *SecurityProfiling's* SysUpdateTM white paper and trial download online. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix upgrades.

2. IDS Eliminates false positives and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities. (See SecurityProfiling's website, Workbench menu, for projects in development.)

3. Scanner Eliminates false positive and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities. (See SecurityProfiling's website, Workbench menu, for projects in development.)

4. Firewall – Eliminates false positive and false negatives, preventing the security system from denying valid traffic to the organization – self-inflicted denial of service attacks - and adds vulnerability remediation, and policy compliance and enforcement functionalities.

5. Vulnerability Management Same as 1., above.

6. Multiple Products: IDS, Scanner, and Firewall – Each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats.

7. Change Management – Will automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and automatically provide all necessary documentation and logging required.

Lastly, the Anti-Vulnerability platform may also provide product upgrades and signature updates to each of these various security products.

Components

The Anti-Vulnerability™ platform is comprised of the following software components: SDK, Client Agent, Logic Engine, and Data Warehouse. Network Operations Center (NOC) Servers periodically synchronize the customers' servers with the latest vulnerability and update data. Please reference the Platform Component Diagram on page 8.

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System Requirements

There are two system requirements: TCP/IP connectivity, and supported network machines and devices. Platforms supported are:

- All Windows Operating Systems and their applications
- All UNIX variants
- Cisco routers and firewalls
- Toshiba network devices
- Netgear network devices
- Linksys network devices, including wireless access points

Platform support is scalable to any network size or architecture; consumer, small office home office (SOHO), enterprise, and distributed networks.

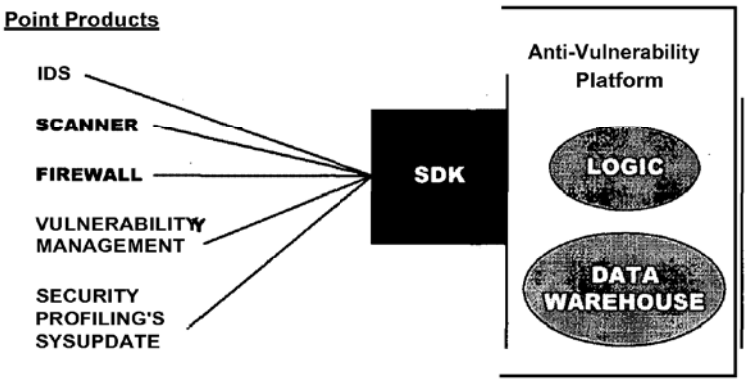
Support for additional machines and devices are in development and will be rolled out on an on-going basis.

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What is Anti-Vulnerability™ Technology?

Anti-Vulnerability™ technology is a backend platform that consists of a logic engine and vulnerability data warehouse. It will integrate with and enable network security components such as IDS, scanners, or firewalls to intelligently reference and share the same vulnerability data set, and independently provide complete vulnerability remediation (patching) functionalities such as that provided by the automated updating application, SysUpdate™. Thereby, the technology will improve system accuracy and efficiencies, minimize false positives and false negatives, and provide policy compliance and enforcement capabilities.

Figure I-Anti-Vulnerability Technology



For more detail, see the Platform Component Diagram on page 8.

Anti-Vulnerability™ technology will ideally meet market requirements, presented in the next section.

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Market Requirements

Networks are probed at an ever-increasing frequency for vulnerabilities, which may be subsequently exploited with compromise attacks. To protect the network, administrators have traditionally set up perimeter defense strategies.

These strategies generally call for network managers to lock down core servers, and monitor/scan/filter all incoming and outgoing traffic at the network perimeter with several network security components such as antivirus and firewalls to identify and attempt to neutralize hackers and malicious code. In the past, these strategies worked well, however new threats are becoming more complex.

The latest malicious code may combine qualities of viruses, worms, and direct compromise attacks into new *blended* attacks. Virus payloads are becoming more complex and by using metamorphic or polymorphic abilities, viruses are able to change their signatures to avoid the fingerprint-type filtering that most applications employ.

To mitigate these new risks, organizations are now deploying a multi-tiered network defense strategy comprised of a variety of additional network security components layered at the perimeter and to internal network machines and devices. Such network security components include antivirus, firewall, scanners, and network and host intrusion detection systems.

Each of these systems is based on specific signatures, rules, or anomalies of each attack and their variants, and do not identify and remediate the specific network vulnerabilities the attack is targeting. So each attack, and its variants, must be identified and analyzed, a signature prepared, then finally deployed to each point product on each customer's network. This process is uncoordinated among multiple disparate systems, and creates an ever-increasing number of signatures producing more and more attack alerts requiring immediate attention – many of which are erroneous.

Additionally, to proactively remediate the vulnerabilities the malicious code is targeting, administrators must quickly and diligently update or "patch" each network machine and device, which is a time-consuming and costly process. Further compounding the burden on administrators, best practice and government compliance directives now require higher standards of network security and integrity to protect consumer privacy, and they must be documented with change tracking and audit trail reports.

Therefore, it is increasingly difficult and costly to effectively mitigate new threats and manage numerous systems -particularly in an environment of rising security standards and policy compliance requirements.

Thus, the multi-tiered network defense strategy is falling short primarily for four reasons:

1. The inability of multi-tiered network security components to communicate and share information necessary to mitigate blended threats, and minimize false positives and false negatives.

2. The vulnerability targeted by malicious code is not accurately identified nor proactively remediated.

3. The associated excessive aggregate cost of ownership of multiple systems.

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4. The excessive administrative burden and cost of managing and maintaining multiple systems.

Hence, there is a need to integrate systems, share information intelligently to better defend against blended threats, reduce management and cost requirements, and automate vulnerability identification and remediation functionalities, as presented in the high-level requirements.

New Technology High-Level Requirements

A new technology is needed to meet market requirements:

1. Integrate network security components to share information
2. Provide system intelligence
3. Remediate network vulnerabilities

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Solution

Anti-Vulnerability™ technology will integrate and enable network security components to intelligently reference and share information from the same vulnerability data set, provide vulnerability identification and remediation functionalities, and efficiently meet policy compliance and enforcement requirements.

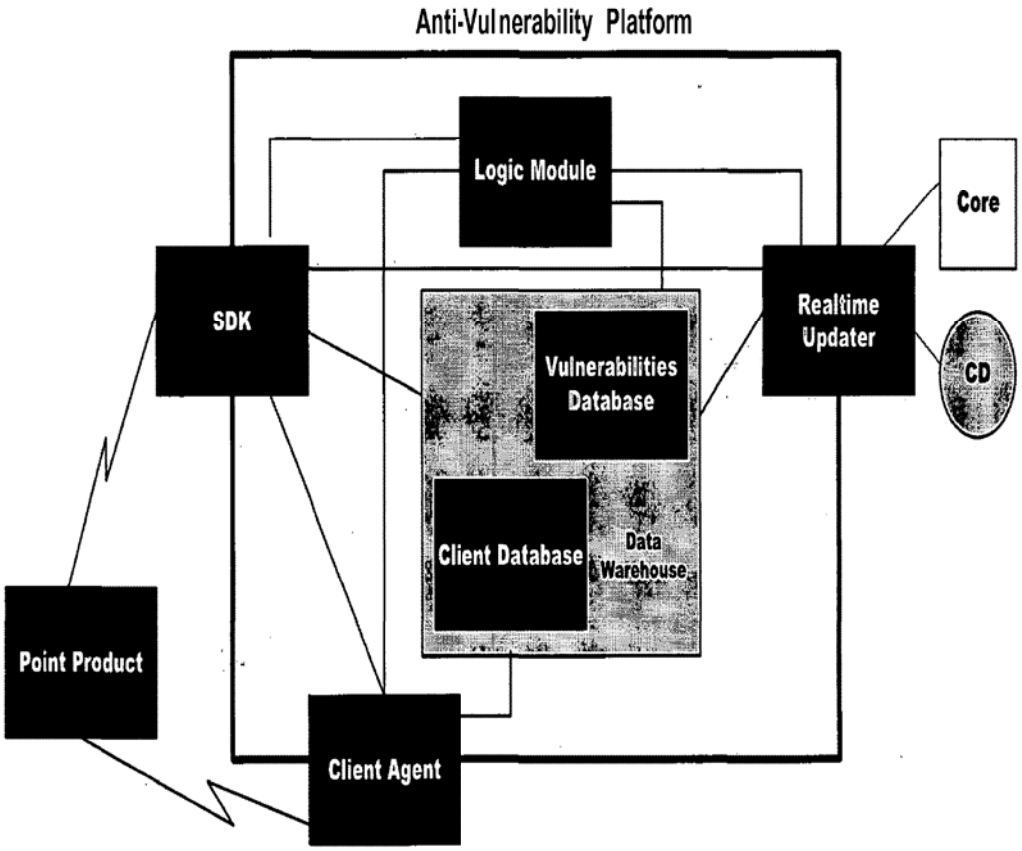
The Anti-Vulnerability™ platform is a complimentary network security technology. When integrated into the defense strategy, it adds intelligence that more accurately and efficiently mitigates blended threats and offloads the time-consuming functions that burden network administrators.

The platform enables network security components to share information via its proprietary logic engine to automatically cross-reference the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Previously separate and uncoordinated processes are now more intelligent and automated, resulting in improved system accuracy and efficiency. Therefore the need to layer more and more network security components is reduced, in-tum decreasing the amount of data – particularly erroneous data – to manage. Subsequently, the costs to acquire, operate, and manage the additional multiple network security components are also reduced.

The platform will also remotely and proactively remediate vulnerabilities by first determining which updates are needed and compatible with each machine or device, taking into account the OS, applications, or firmware installed. Then, the updates may be deployed, installed, and validated. Thereby, policy compliance is effectively and efficiently enforced, and documented.

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Figure 2 – SDK and Platform Component Diagram



Anti-Vulnerability Engine
SOK
Logic Module

Anti-Vulnerability Service
Vulnerabilities Database
Realtime Updater
Core
CD

Features & Benefits

Features:

Anti-Vulnerability™ technology fulfills market requirements noted in the previous section.

1. Integrates network security components and provides system intelligence. The same vulnerability data warehouse information is shared to the products so that more intelligent actions may then be taken to mitigate complex threats.

2. Cross-references the vulnerability targeted by the threat. The CVE ID, or other identifier, of the vulnerability targeted by the threat is fed into the logic engine where it is cross-referenced with the vulnerabilities of the targeted machine. An answer is returned indicating if the machine is vulnerable.

3. Identifies network vulnerabilities. The platform will independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

4. Proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports.

Benefits:

Blended attacks are more effectively mitigated and the overwhelming management and maintenance burden on administrators to purchase, operate, and maintain multiple network security components is reduced, while increasing productivity, reducing costs, and more effectively and efficiently meeting policy compliance and enforcement requirements.

End Users

- Supplements existing technology. to better defend against blended attacks

  Intelligently accesses the vulnerability data warehouse, and remediates vulnerabilities.

- Offers policy compliance and enforcement functionality

  Vulnerabilities may be automatically remediated, verified and documented, therefore enforcing compliance.

- No additional software or hardware implementation costs

  Anti-Vulnerability™ functionalities may be integrated into existing product platforms.

- Reduces cost of ownership of multi network security components

  Shared vulnerability data sets and added vulnerability remediation functionalities may reduce the number of network security components needed to adequately attain defense strategy requirements.

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- Reduces management and maintenance costs

  Increased accuracy of vulnerability identification, remediation and policy enforcement, and reduction of false positives, false negatives and denial of service (DoS), significantly reduces management time and costs.

- Manage more machines and devices on the network through one portal

  Vulnerability remediation and policy compliance and enforcement may be integrated with existing security network security components, and their respective interfaces.

- Minimize end user education/ absorption costs

  Anti-Vulnerability™ applications are transparently integrated, retaining pre-existing architecture, processes, and interfaces. Therefore, the end user experience remains the same, or improved with simplified or automated processes.

- User experience remains the same – additional time or costs to understand and execute new technologies are minimized

  Anti-Vulnerability™ applications may be integrated transparently and seamlessly, and the pre-existing operational processes and user interfaces are virtually unchanged.

- Supports both the enterprise and SOHO networks

  Data warehouse contains vulnerabilities and updates for many machines and devices that operate on both enterprise and SOHO networks. See the Supported Platforms subsection for more details.

  Such applications are presented in the next section.

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Anti-Vulnerability™ Technology Applications

Examples of Anti-Vulnerability™ applications that may be made available for enterprise and small office home office (SOHO) networks:

1. Update or Patch Deployment

SecurityProfiling 's SysUpdate™ vulnerability remediation solution is the first Anti-Vulnerability™ technology application. A white paper and trial download are available online that demonstrate its functionalities and benefits.

Benefits:

Anti-Vulnerability™ technology enables products to add accurate vulnerability identification, remediation, verification, and policy compliance.

With Anti-Vulnerability™ technology, products will gain intelligence, accuracy and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix updates for widely distributed programs, which will optimize system performance and enhance the consumer experience.

2. IDS

IDS products attempt to identify malicious code by signatures at both the network and host client level. While they may be able to identify its CVE ID or other vulnerability identifier, and target, they generally do not have the intelligence to determine if the any of the machines on the network are susceptible to that attack, or with finer granularity, if any machine has a specific vulnerability to that specific attack.

For example, if the attack is a Window based attack targeting a Windows machine, is the targeted machine actually running Windows, and if so, is. the machine vulnerable to the attack? IDS systems do not have the intelligence to answer these questions. Lastly, if the targeted machine is vulnerable - it remains unremediated – the IDS system does not have the capability to remediate it.

Benefits:

With Anti-Vulnerability™ technology, a product architect can integrate functionalities listed in the previous section to enable the IDS to access the Anti-Vulnerability™ logic engine and platform. It will then have the intelligence to determine if any machine on the network is susceptible to the attack, remediate the vulnerability, mitigate the attack, and verify policy compliance.

Now, if no machines were susceptible to the attack, it is identified as an event but not an . incident, no further data or alert is generated, and a management response is not required.

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With Anti-Vulnerability™ technology, the product will gain intelligence, accuracy, and efficiency, eliminate false positives and false negatives, and ensure policy compliance, thereby saving the organization time and money. Such functionalities and benefits are available for both the enterprise and SOHO networks.

3. Scanners

Vulnerability scanners assess each machine on the network for vulnerabilities, and create lists of potential vulnerabilities to the system managers. The lists commonly contain many false positives and false negatives, burdening the system and managers with inaccuracies.

Benefits:

With Anti-Vulnerability™ technology, a product architect can integrate functionalities listed in the previous section to enable the scanner to access the Anti-Vulnerability™ logic engine and platform, and then have the intelligence to determine if the machine has actual vulnerabilities, remediate them, and verify policy compliance.

With Anti-Vulnerability technology, the product will gain intelligence, accuracy, and efficiency, eliminated false positives and false negatives, and ensured policy compliance, thereby saving the organization time and money.

4. Firewall

"Smart" firewalls are based in part on signatures and other similar functionalities as the JDS products described above.

Benefits:

With Anti-Vulnerability™ technology and platform, the firewall can determine whether an attack is valid or a false positive, thereby preventing the security system from denying valid traffic to the organization – self-i!1flicted DOS attacks.

Such functionalities and benefits are available for both the enterprise and SOHO networks.

5. Vulnerability Management

Vulnerability Management products enable managers to set policy and identify potential network vulnerabilities., They typically do not accurately identify each vulnerability on each network machine and device, nor remediate each vulnerability, meeting policy compliance enforcement requirements.

Benefits:

Anti-Vulnerability™ technology· offers similar functionalities and benefits as the patch deployment products described above. In short, it enables products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement. Such functionalities and benefits are available for both the enterprise and SOHO networks.

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6. Multiple Products: IDS, Scanner, Firewall, and Vulnerability Management

Each product functions as the individual products noted above. Each may be deployed and operated on the network in a multi-tiered network defense strategy. They may be disparate system, and their signatures and update deployment schedules may vary. Therefore, the probability of mitigating a new and complex threat decreases, while management requirements and cost increases.

Benefits:

With Anti-Vulnerability™ technology, they each may communicate with the same back-end data warehouse, sharing the same vulnerability information, attaining intelligence and more accurate information about the target and its vulnerabilities, thereby more effectively mitigating complex threats. It will also enable the products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement functionalities.

7. Change Management

Existing change management (CM) applications control the documentation and logging of change throughout the enterprise. These applications ensure that an organization maintains consistent records of what happened and when. Currently administrators must independently recognize that a security patch/update must be deployed to a computer or group of computers. The user enters the request in the system, through the pipe-lined process of change management the request would be approved, the patch/update would be manually installed by a user, then documented in the change management software that the process has been completed. .While CM software assists in documentation, very little if any assistance is provided in identifying the patches/updates needed, nor verifying correct function after the update/patch is installed.

Benefits:

With Anti-Vulnerability™ technology, change management integration will greatly streamline this process further reducing total cost of ownership, ease of use, and a higher standard of documentation. The products will then automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and automatically provide all necessary documentation and logging required.

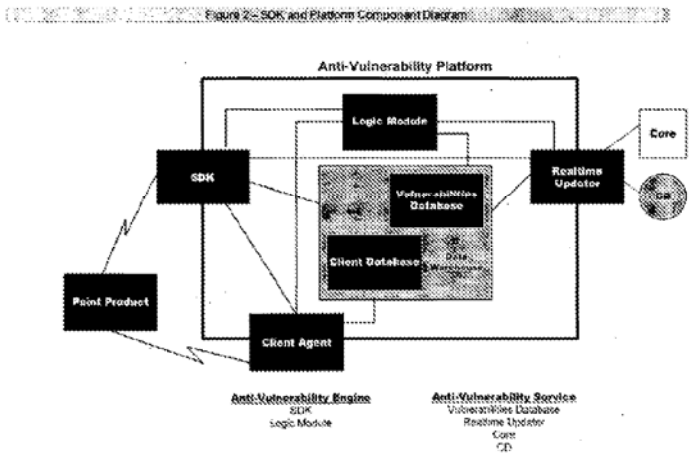
Lastly, Anti-Vulnerability™ technology may also provide product upgrades and signature updates to each of these various security products - including all of the Anti-Vulnerability technology benefits such as ensuring compliance of signature versions, logging, reporting, and verification of installation.

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Anti-Vulnerability™ technology is an intelligent platform that will supplement any existing defense strategy. Once integrated with the technology, components may share the same vulnerability data set to improve automation and accuracy – increasing efficiencies and minimizing false positives and false negatives. It also enables remote identification, management, and remediation of network vulnerabilities, and provides update deployment, validation, and reporting capabilities. Thereby, the technology improves network security and integrity, mitigation of blended threats, while increasing productivity, saving time and money, and more effectively and efficiently attaining policy compliance and enforcement requirements.

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ANNEX C

Application No.: 14/499,230	**Excerpts from Annex A/B**
3. A computer program product embodied on a non-transitory computer readable medium, the computer program product comprising: code for: accessing at least one data storage identifying a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities, such that: each mitigation technique is capable of mitigating an effect of an attack that takes advantage of a corresponding vulnerability, and	See excerpt(s) below and/or other related disclosures in Annex A/B:  See page 8 of Annex B. **Data Warehouse** This component has four primary functions: 1. For vulnerability remediation functionalities, periodically polls the clients for configuration data. 2. Maintains the vulnerability database. 3. Maintains the update database. 4. Periodically polls the NOC server, and receives updates. See page 23 of Annex A.

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Client Agent Polling
The client agents are periodically polled for client configuration data. Each client responds with their respective OS, applications, firmware and updates installed, which will be cross-referenced by the logic engine.

Vulnerability Database
The data warehouse fully maintains a full vulnerability database. The database is a self-configuring, self-populating, maintenance-free database, and does not require administrator inputs or interaction. The database periodically synchronizes itself with the NOC servers' database.

The database was designed to accommodate and organize all vulnerabilities across the network with a proprietary schema. The schema was also designed to be accessible to unique queries to cross-reference its data. The logic engine determines which fields are to be queried, and returns the processed data results.

Update Database
The on-site server component fully maintains an update database. The database is a self-configuring, self-populating, maintenance-free database, and does not require administrator inputs or interaction. The database periodically synchronizes itself with the NOC servers' database, as noted below.

NOC Server Polling
The NOC servers are polled periodically, and operate on a "pull" traffic network. The only information leaving the customer's site is an encrypted key, used for authentication by the NOC servers. Once authenticated, the servers are synchronized with the latest vulnerabilities and updates. These files are sent in an AES-encrypted format.

Server Component	Space required:	The server component requires 40 GB of space.
	Security:	Updates pulled from NOC Servers are in an AES-encrypted format.
	Polling interval:	The on-site server polls the clients at any interval selected by the administrator.

Network Operations Center (NOC) Servers
The vulnerabilities and updates and their respective guidelines are archived in the Anti-Vulnerability™ NOC servers' database and periodically distributed to the customer's site.

See page 24 of Annex A.

What is the SDK and Anti-Vulnerability™ Platform?
The SDK was designed to be a simple integration pathway to the back-end Anti-Vulnerability™ platform — consisting of a logic engine and vulnerability data warehouse. It will enable any network security product such as an IDS, scanner, or firewall to intelligently reference and share the same vulnerability data set, and provide complete vulnerability remediation functionalities. Thereby, improving system accuracy and efficiencies, minimizing false positives and false negatives, and providing policy compliance and enforcement capabilities.

Integrates point products and provides system intelligence. The same vulnerability data warehouse information is shared with the products so that more intelligent actions may then be taken to mitigate complex threats.

See page 2 of Annex A.

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	4. **Proactively remediates the vulnerability.** Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports. See page 3 of Annex A. The SDK was designed to be a simple integration pathway to the back-end Anti-Vulnerability™ platform — consisting of a logic engine and vulnerability data warehouse. It will enable any network security product such as an IDS, scanner, or firewall to intelligently reference and share the same vulnerability data set, and provide complete vulnerability remediation functionalities. Thereby, improving system accuracy and efficiencies, minimizing false positives and false negatives, and providing policy compliance and enforcement capabilities. See page 5 of Annex A. Shared vulnerability data sets and added vulnerability remediation functionalities may reduce the number of network security components needed to adequately attain defense strategy requirements. See page 9 of Annex B.
each mitigation technique has a mitigation type including at least one of a patch, a policy setting, or a configuration option;	Patch Deployment – Remotely remediates network vulnerabilities and provides policy compliance and enforcement capabilities. *See SecurityProfiling's SysUpdate™* white paper and trial download online. And, for the consumer market, it will additionally support non-security related updates such as application version, performance, and bug-fix upgrades. See page 3 of Annex A. ***Identifies Applications Installed*** The client agent accurately identifies and inventories the operating system, applications, and updates installed on each machine. Periodically, the system polls each client agent and the configuration data is transferred back to the data warehouse. The logic engine determines and deploys the appropriate updates to each machine. (More detail of this process is provided in the Logic Engine sub-section, on the next page.) See page 22 of Annex A. It also determines which updates are needed and compatible with each machine's configuration. The logic engine cross-references and matches each client's configuration with the information for each update, and determines which updates are appropriate. It then takes these results and filters them through the group policy to determine which updates should actually be installed on the client. Lastly the logic engine once more references the group policy to determine what action (if any) to take, and then performs this action at the appropriate time. See page 23 of Annex A. **Proactively remediates the vulnerability.** Once a vulnerability is identified, a remediation function is provided that may remotely and automatically deploy the appropriate update to each machine or device, install it, and document it with change tracking and audit trail reports. See page 10 of Annex A.

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code for: displaying at least one mitigation technique for mitigating an effect of at least one attack that takes advantage of at least one vulnerability, and receiving 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; and	The technology is sophisticated, yet all of the details of managing the communications are implemented in the library, requiring the developer to only learn a few simple function calls as detailed in section five, and the SDK User's Guide. A product architect simply chooses the functionality desired, inserts the provided functionality SDK code into the product code. The SDK code will then query – via the logic engine – the Anti-Vulnerability™ data warehouse, and in turn will return an answer to the point product. The architect can then show the results in any format desired in the product's interface. Full vulnerability remediation and policy compliance and enforcement functionalities may be integrated as well. See page 5 of Annex A. • The SDK adds functionality to products transparently – retaining pre-existing architecture and end user interfaces The SDK integrates functionalities that return answers to the functional queries from the logic engine and data warehouse. The responses then may be incorporated into existing product user interfaces at the discretion of the architect. See page 11 of Annex A. 8. Change Management Existing change management (CM) applications control the documentation and logging of change throughout the enterprise. These applications ensure that an organization maintains consistent records of what happened and when. Currently administrators must independently recognize that a security patch/update must be deployed to a computer or group of computers. The user enters the request in the system, through the pipe-lined process of change management the request would be approved, the patch/update would be manually installed by a user, then documented in the change management software that the process has been completed. While CM software assists in documentation, very little if any assistance is provided in identifying the patches/updates needed, nor verifying correct function after the update/patch is installed. Benefits: With the SDK and platform, change management integration will greatly streamline this process further reducing total cost of ownership, ease of use, and a higher standard of documentation. The products will then automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by vulnerability. After approval of the request, they will automatically deploy and install the update/patch. Finally, they will also verify correct operation after installation and automatically provide all necessary documentation and logging required. See page 20-21 of Annex A. GetClientPendingUpdates Parameters: CLIENT structure to get information from. Returns: Array of HOTFIX structures corresponding to the pending hot fixes for the client Description: This function returns a list of hot fixes that the client needs (according to group policy) as of the last polling. See page 28 of Annex A

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C. Update Management Functions

- **GetHotFixInfo**
  Parameters: HOTFIX structure to get information from
  Returns: HOTFIX_INFO structure describing the update
  Description: This function retrieves detailed information about a particular update.

- **InstallHotFixForClient**
  Parameters: HOTFIX structure to install, CLIENT structure to install the update on.
  Returns: Success or failure.
  Description: This function installs an update on a particular client if applicable.

- **InstallHotFixForGroup**
  Parameters: HOTFIX structure to install, GROUP structure to deploy the update to.
  Returns: Success or failure
  Description: This function installs an update on all clients in a group that need it.

- **InstallAllPendingClient**
  Parameters: CLIENT structure to install update on
  Returns: Success or failure
  Description: This function installs all pending updates on a client.

- **InstallAllPendingGroup**
  Parameters: GROUP to deploy update to.
  Returns: Success or failure
  Description: This function installs all pending updates on all clients in a group.

- **RejectHotFixForClient**
  Parameters: HOTFIX structure to reject, CLIENT structure to reject update on.
  Returns: Success or failure
  Description: This function rejects an update for a particular client.

- **RejectHotFixForGroup**
  Parameters: HOTFIX structure to reject, GROUP structure to reject update for.
  Returns: Success or failure
  Description: This function rejects an update on all clients in a particular group.

- **RequeueHotFixForClient**
  Parameters: HOTFIX structure to requeue, CLIENT structure to requeue the update on.
  Returns: Success or failure. ,
  Description: This function cancels a previous update rejection for a particular client.

- **RequeueHotFixForGroup**
  Parameters: HOTFIX structure to requeue, GROUP structure to requeue the update for.
  Returns: Success or failure
  Description: This function cancels a previous update rejection for all clients in a particular group.

See page 29-30 of Annex A

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	• Manage more machines and devices on the network through one portal Vulnerability remediation and policy compliance and enforcement may be integrated with existing security network security components, and their respective interfaces. • Minimize end user education/ absorption costs Anti-Vulnerability™ applications are transparently integrated, retaining pre-existing architecture, processes, and interfaces. Therefore, the end user experience remains the same, or improved with simplified or automated processes. • User experience remains the same – additional time or costs to understand and execute new technologies are minimized Anti-Vulnerability™ applications may be integrated transparently and seamlessly, and the pre-existing operational processes and user interfaces are virtually unchanged. See page 10 of Annex B. 2. IDS IDS products attempt to identify malicious code by signatures at both the network and host client level. While they may be able to identify its CVE ID or other vulnerability identifier, and target, they generally do not have the intelligence to determine if the any of the machines on the network are susceptible to that attack, or with finer granularity, if any machine has a specific vulnerability to that specific attack. For example, if the attack is a Window based attack targeting a Windows machine, is the targeted machine actually running Windows, and if so, is the machine vulnerable to the attack? IDS systems do not have the intelligence to answer these questions. Lastly, if the targeted machine is vulnerable - it remains unremediated – the IDS system does not have the capability to remediate it. Benefits: With the SDK, a product architect can integrate functionalities listed in the previous section to enable the IDS to access the Anti-Vulnerability™ logic engine and platform. It will then have the intelligence to determine if any machine on the network is susceptible to the attack, remediate the vulnerability, mitigate the attack, and verify policy compliance. See page 18 of Annex A. 4. Firewall "Smart" firewalls are based in part on signatures and other similar functionalities as the IDS products described above. Benefits: With the SDK and platform, the firewall can determine whether an attack is valid or a false positive, thereby preventing the security system from denying valid traffic to the organization – self-inflicted DOS attacks. See page 19 of Annex A.
code for: receiving information in connection with at least one of a plurality of devices, and identifying an attack in connection with the at least one device that takes advantage of the at least one	Benefits: Blended attacks are more effectively mitigated and the overwhelming management and maintenance burden on administrators to purchase, operate, and maintain multiple point products is reduced, while increasing productivity, reducing costs, and more effectively and efficiently meeting policy compliance and enforcement requirements. See page 10 of Annex A.

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vulnerability, based on the information; wherein the computer program product is operable such that, as a result of the 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, the identified attack is prevented from taking advantage of the at least one vulnerability;	**2. IDS** IDS products attempt to identify malicious code by signatures at both the network and host client level. While they may be able to identify its CVE ID or other vulnerability identifier, and target, they generally do not have the intelligence to determine if the any of the machines on the network are susceptible to that attack, or with finer granularity, if any machine has a specific vulnerability to that specific attack. For example, if the attack is a Window based attack targeting a Windows machine, is the targeted machine actually running Windows, and if so, is the machine vulnerable to the attack? IDS systems do not have the intelligence to answer these questions. Lastly, if the targeted machine is vulnerable - it remains unremediated – the IDS system does not have the capability to remediate it. **Benefits:** With the SDK, a product architect can integrate functionalities listed in the previous section to enable the IDS to access the Anti-Vulnerability™ logic engine and platform. It will then have the intelligence to determine if any machine on the network is susceptible to the attack, remediate the vulnerability, mitigate the attack, and verify policy compliance. See page 18 of Annex A. **4. Firewall** "Smart" firewalls are based in part on signatures and other similar functionalities as the IDS products described above. **Benefits:** With the SDK and platform, the firewall can determine whether an attack is valid or a false positive, thereby preventing the security system from denying valid traffic to the organization – self-inflicted DOS attacks. See page 19 of Annex A.
wherein the computer program product is operable such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an operating system	The platform will also remotely and proactively remediate vulnerabilities by first determining which updates are needed and compatible with each machine or device, taking into account the OS, applications, or firmware installed. Then, the updates may be deployed, installed, and validated. Thereby, policy compliance is effectively and efficiently enforced, and documented. See page 8 of Annex A. ***Identifies Applications Installed*** The client agent accurately identifies and inventories the operating system, applications, and updates installed on each machine. Periodically, the system polls each client agent and the configuration data is transferred back to the data warehouse. The logic engine determines and deploys the appropriate updates to each machine. (More detail of this process is provided in the Logic Engine sub-section, on the next page.) See page 22 of Annex A. ***Client Agent Polling*** The client agents are periodically polled for client configuration data. Each client responds with their respective OS, applications, firmware and updates installed, which will be cross-referenced by the logic engine. See page 24 of Annex A.
	It should be strongly noted that above exemplary non-exhaustive excerpts are set forth for illustrative purposes only and should not be construed as limiting in any manner whatsoever to the claims.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Oliphant Application No.: 14/499,230 Filed: 09/28/2014 For: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION	Confirmation No.: 9215 Examiner: HERZOG, MADHURI R. Art Unit: 2436 Atty. Docket No.: SP1P0012 Date: 3/5/2015

SUBSTITUTE AMENDMENT(S)/ARGUMENT(S) IN RESPONSE TO FIRST ACTION INTERVIEW PILOT POGRAM PRE-INTERVIEW COMMUNICATION

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

Dear Sir:

Following are amendment(s)/argument(s) in response to the First Action Interview Pilot Program Pre-Interview Communication mailed January 8, 2015 and a substitute for the amendments/arguments filed February 3, 2015.

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