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PTO/AIA/82B (07-13)
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I am the Applicant (if the Applicant is a juristic entity, list the Applicant name in the box):

SecurityProfiling, LLC

☐ Inventor or Joint Inventor (title not required below)

☐ Legal Representative of a Deceased or Legally Incapacitated Inventor (title not required below)

☑ Assignee or Person to Whom the Inventor is Under an Obligation to Assign (provide signer's title if applicant is a juristic entity)

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The undersigned (whose title is supplied below) is authorized to act on behalf of the applicant (e.g., where the applicant is a juristic entity).

| | | | |
|---|---|---|---|
| Signature | /Thomas D. Fortenberry/ | Date (Optional) | |
| Name | Thomas D. Fortenberry | | |
| Title | Manager of SecurityProfiling, LLC | | |

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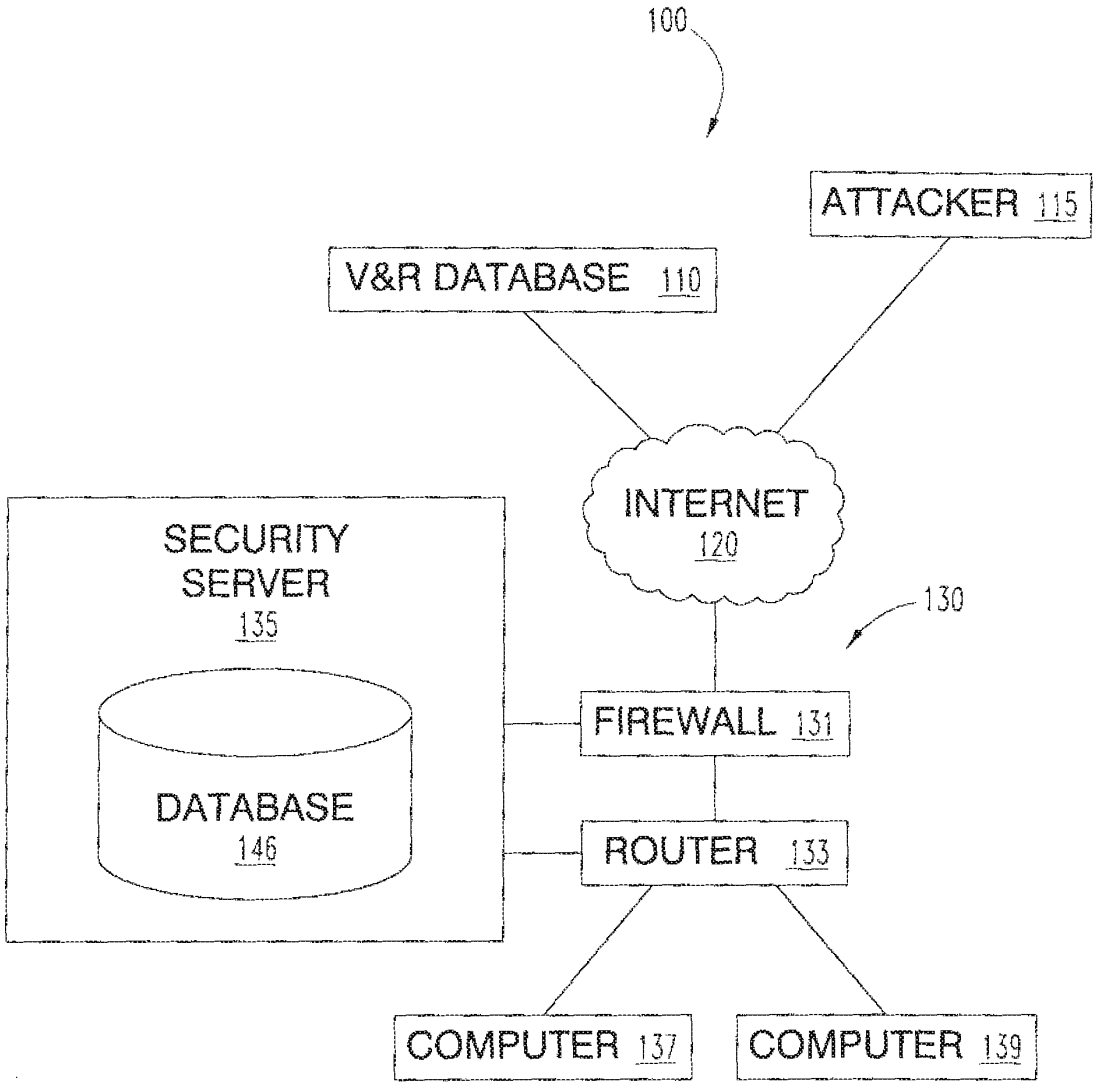

100
ATTACKER 115
V&R DATABASE 110
INTERNET 120
SECURITY SERVER 135
DATABASE 146
130
FIREWALL 131
ROUTER 133
COMPUTER 137
COMPUTER 139

FIG. 1

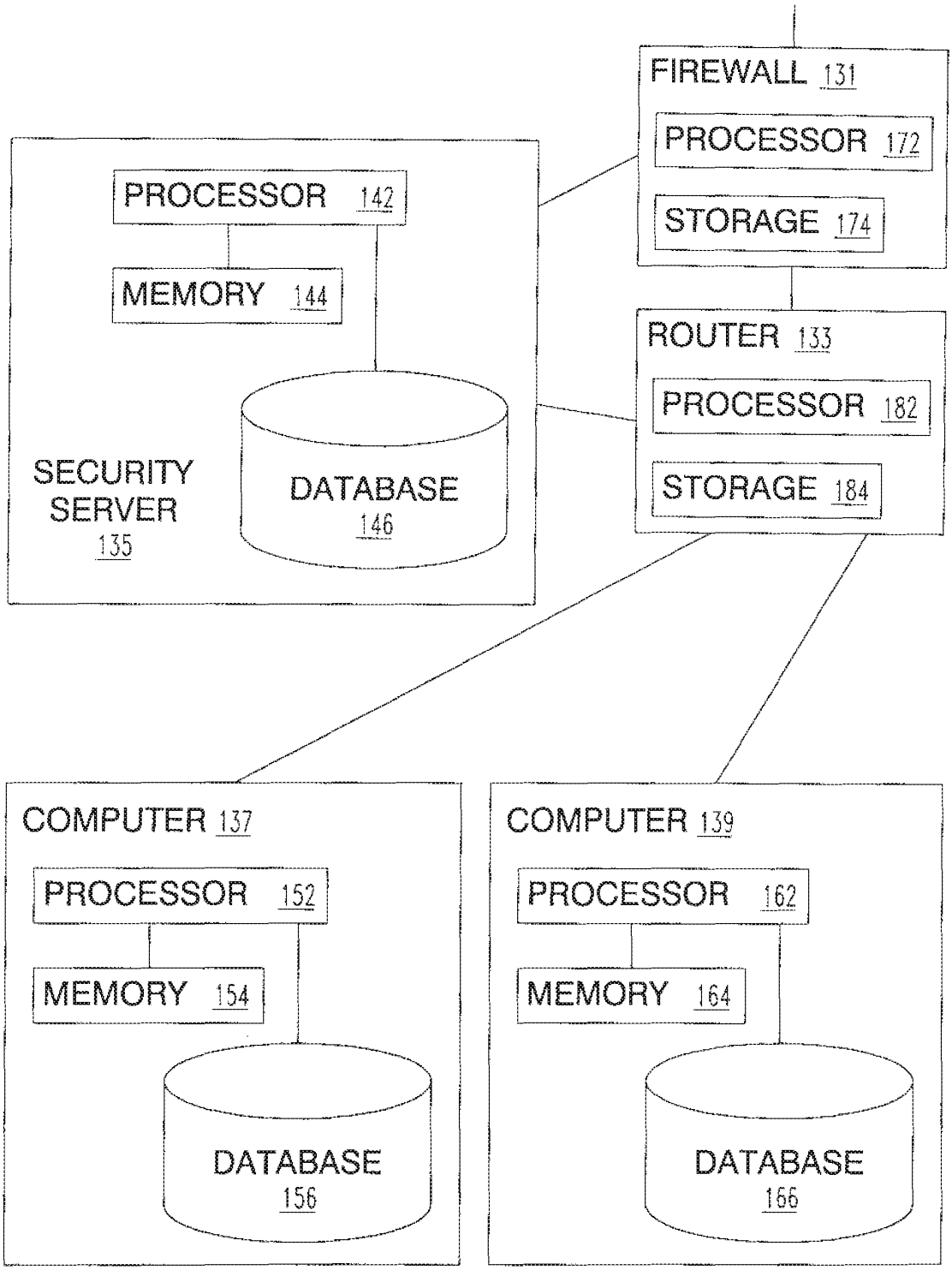

FIREWALL 131
PROCESSOR 172
STORAGE 174
PROCESSOR 142
MEMORY 144
ROUTER 133
PROCESSOR 182
STORAGE 184
DATABASE
146
SECURITY
SERVER
135
COMPUTER 137
PROCESSOR 152
MEMORY 154
DATABASE
156
COMPUTER 139
PROCESSOR 162
MEMORY 164
DATABASE
166

FIG. 2

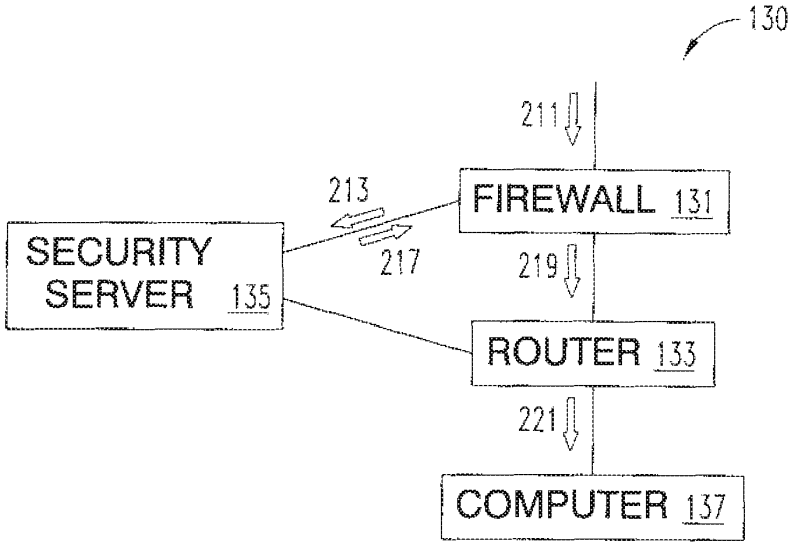

130
211
213
FIREWALL 131
SECURITY SERVER 135
217
219
ROUTER 133
221
COMPUTER 137

FIG. 3

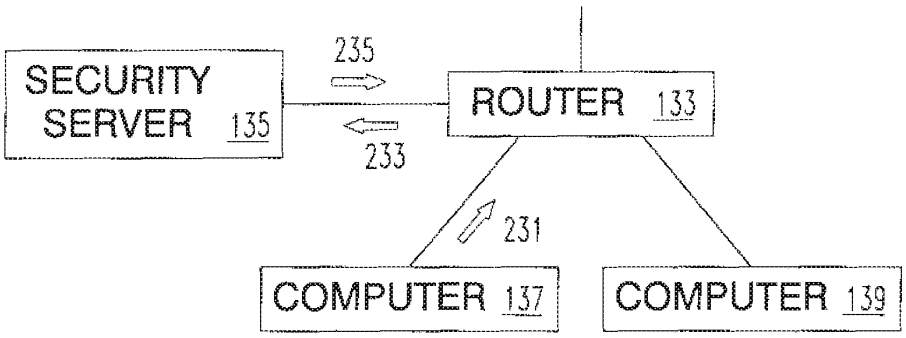

SECURITY SERVER 135
235
233
ROUTER 133
231
COMPUTER 137
COMPUTER 139

FIG. 4

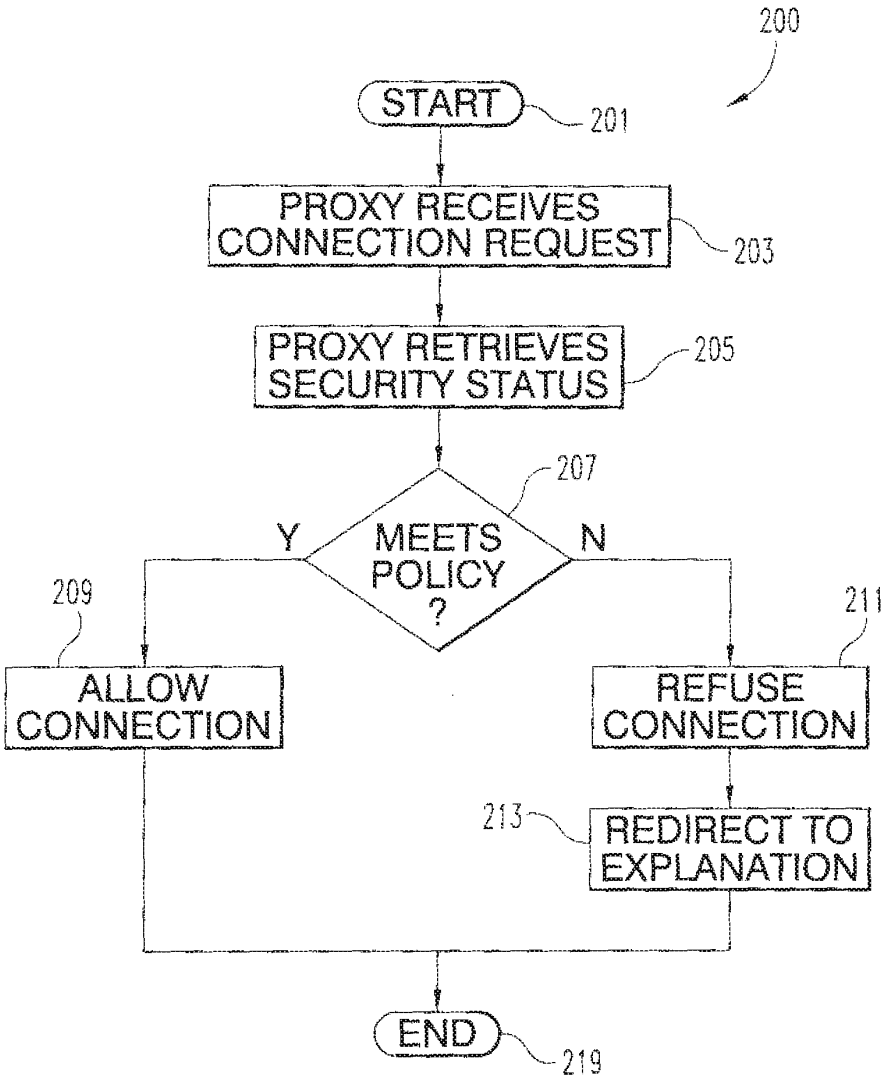

200
START
201
PROXY RECEIVES CONNECTION REQUEST
203
PROXY RETRIEVES SECURITY STATUS
205
207
MEETS POLICY ?
Y
N
209
ALLOW CONNECTION
211
REFUSE CONNECTION
213
REDIRECT TO EXPLANATION
END
219

FIG. 5A

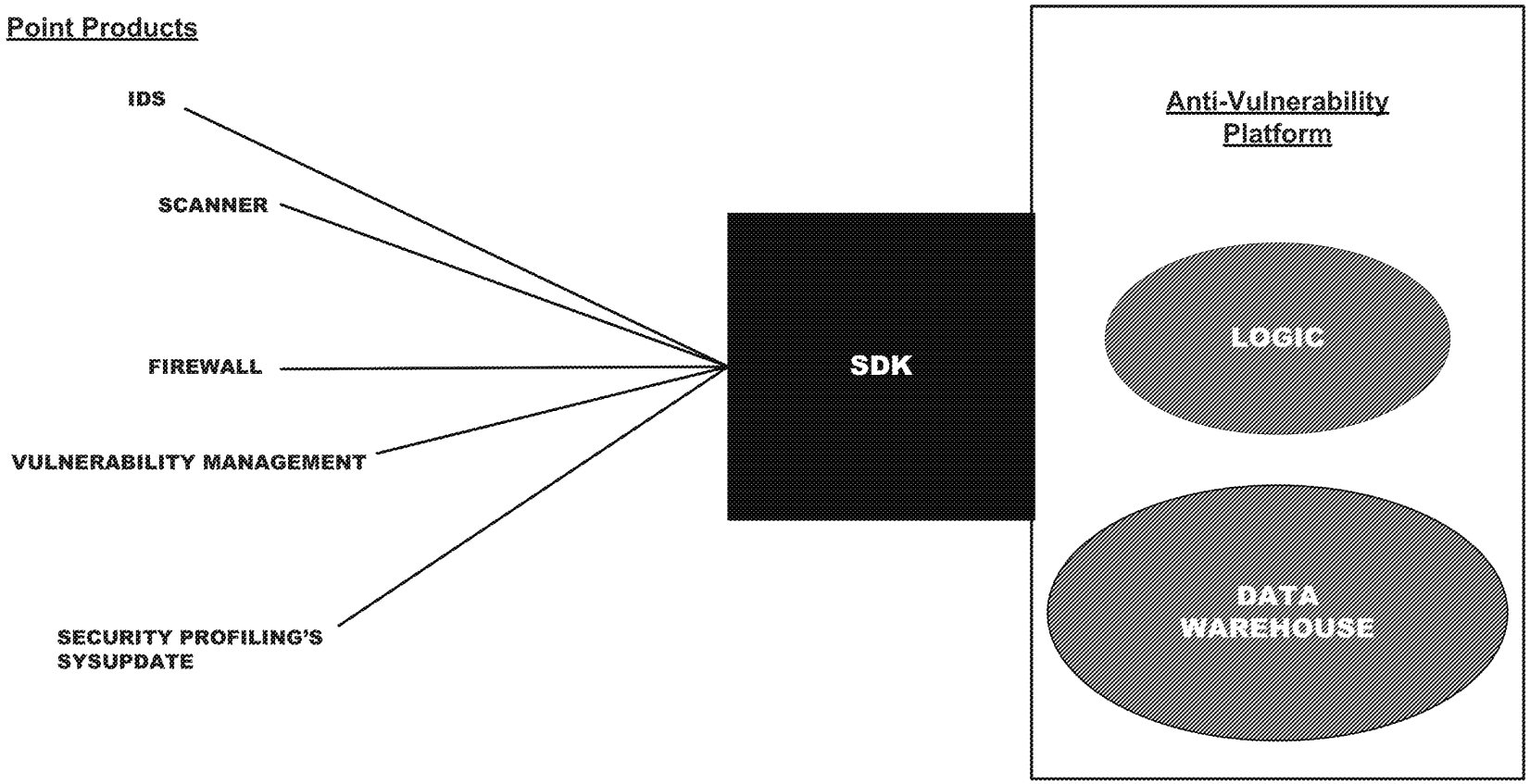



FIG. 5B

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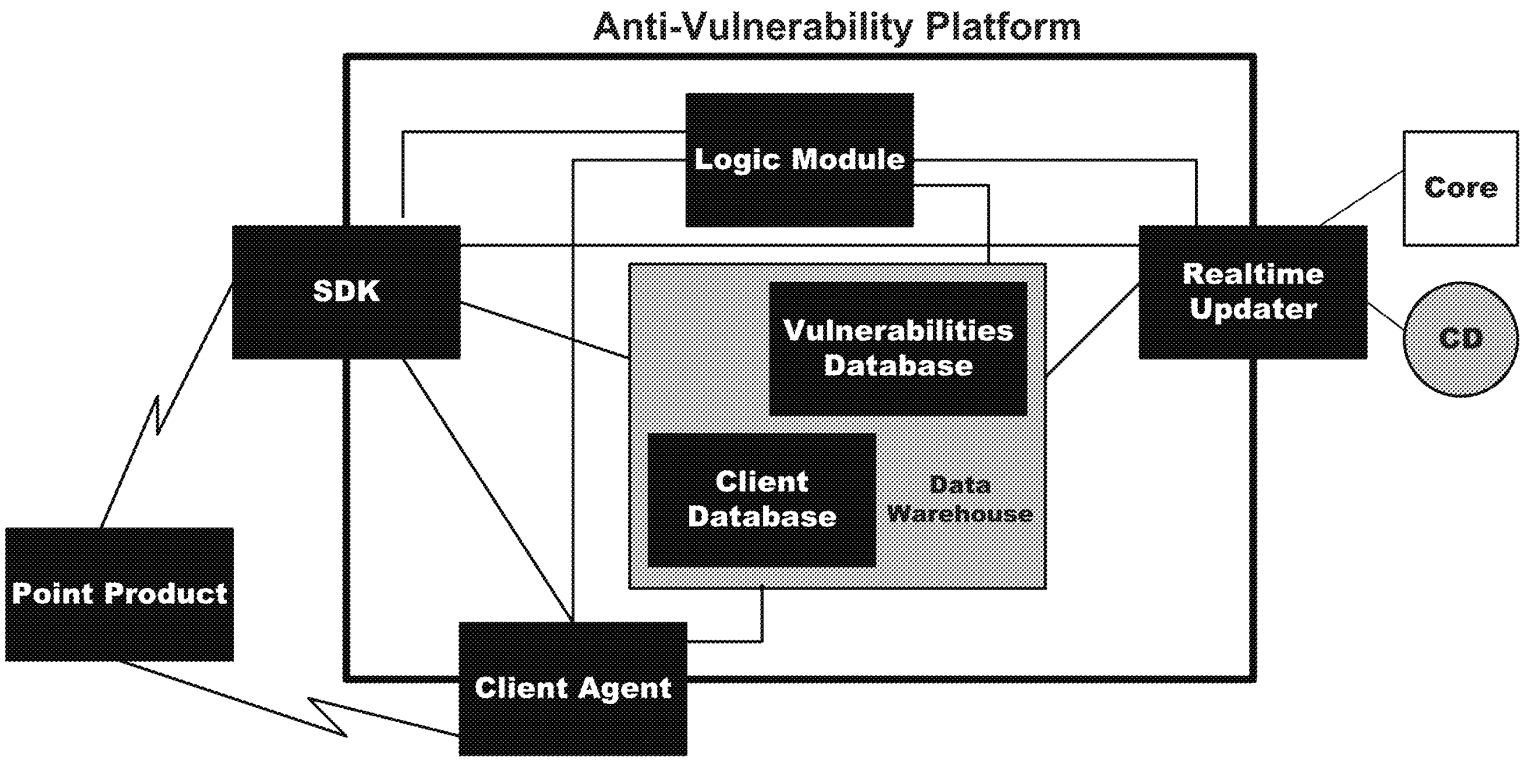



FIG. 6

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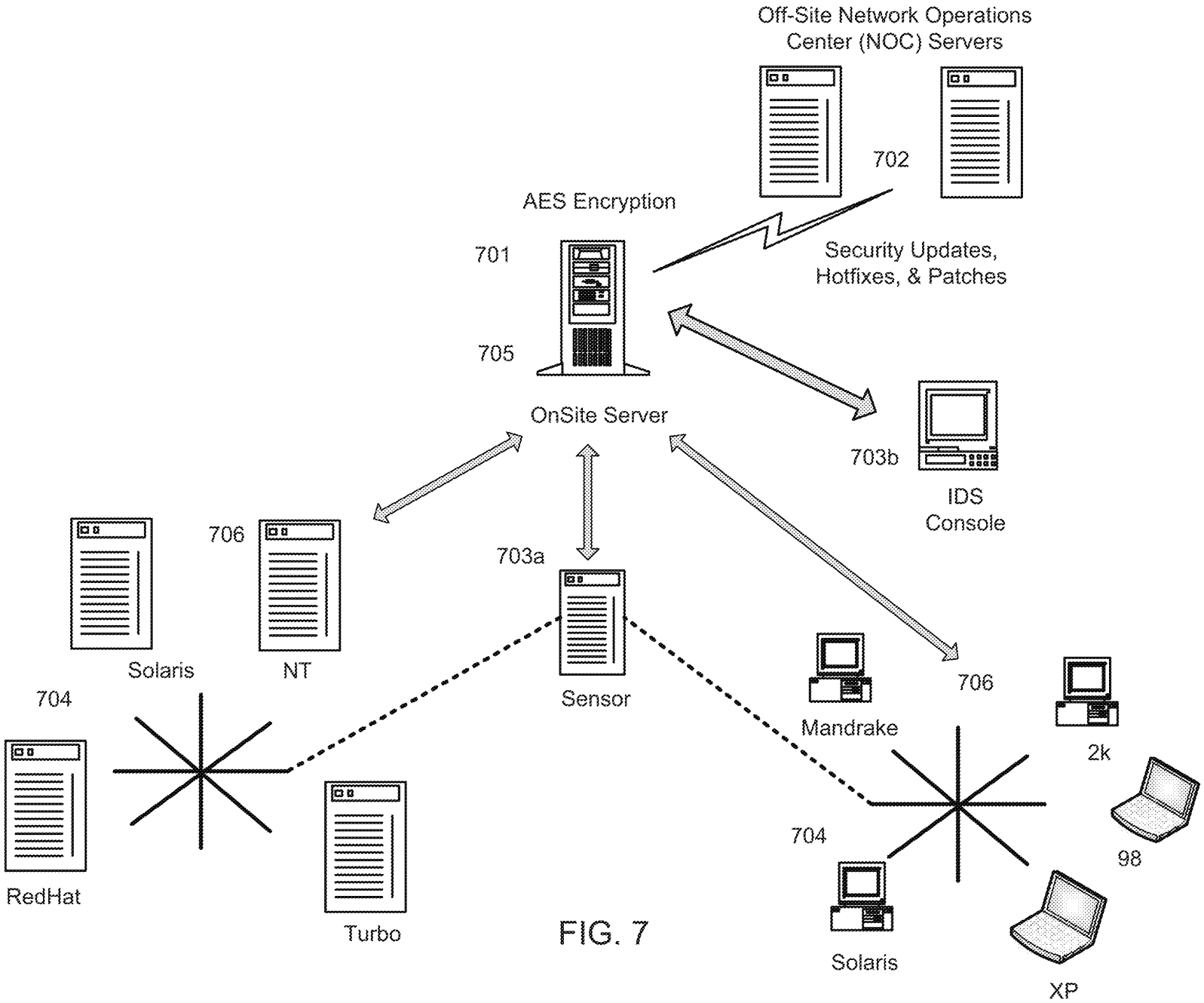



FIG. 7

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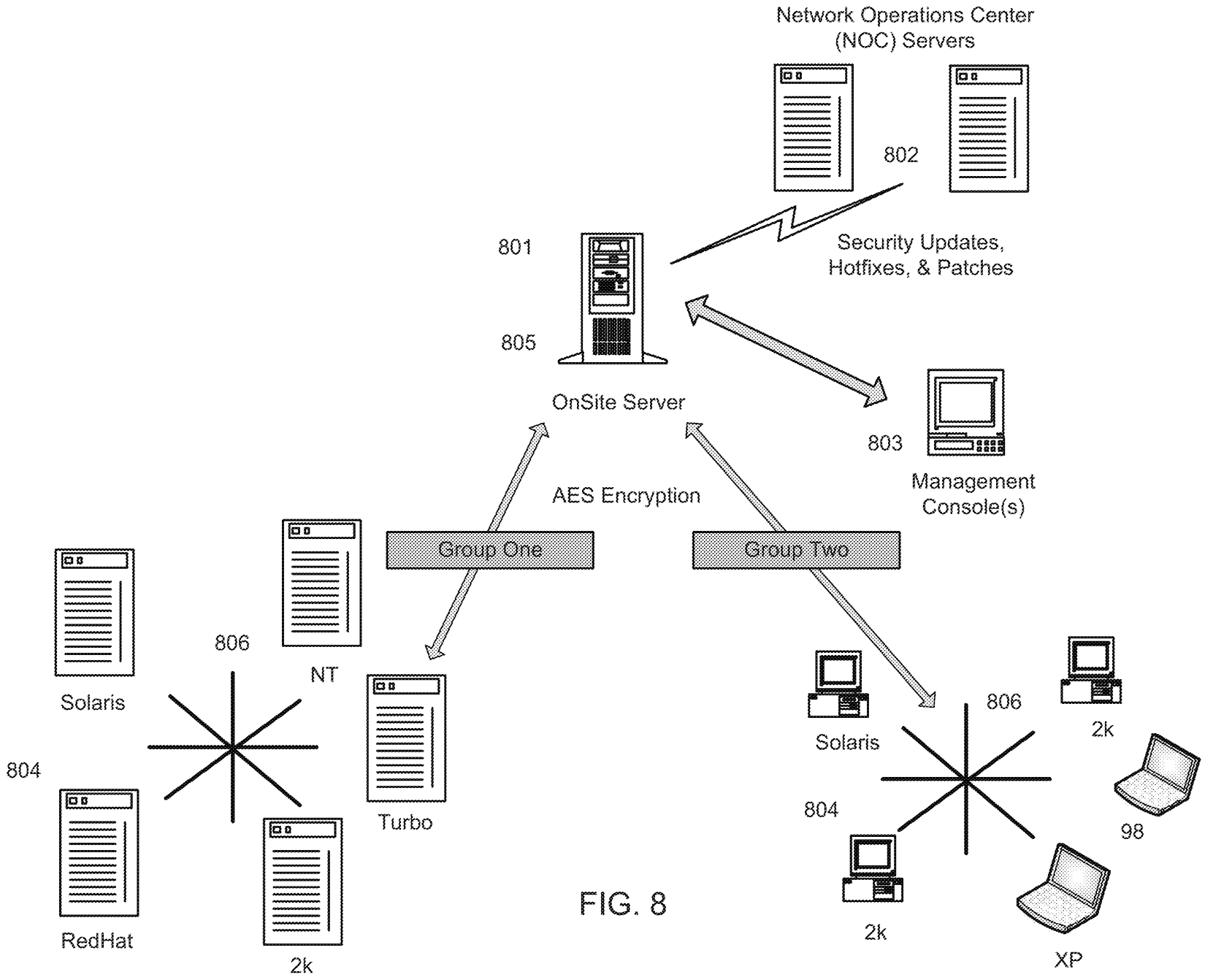



FIG. 8

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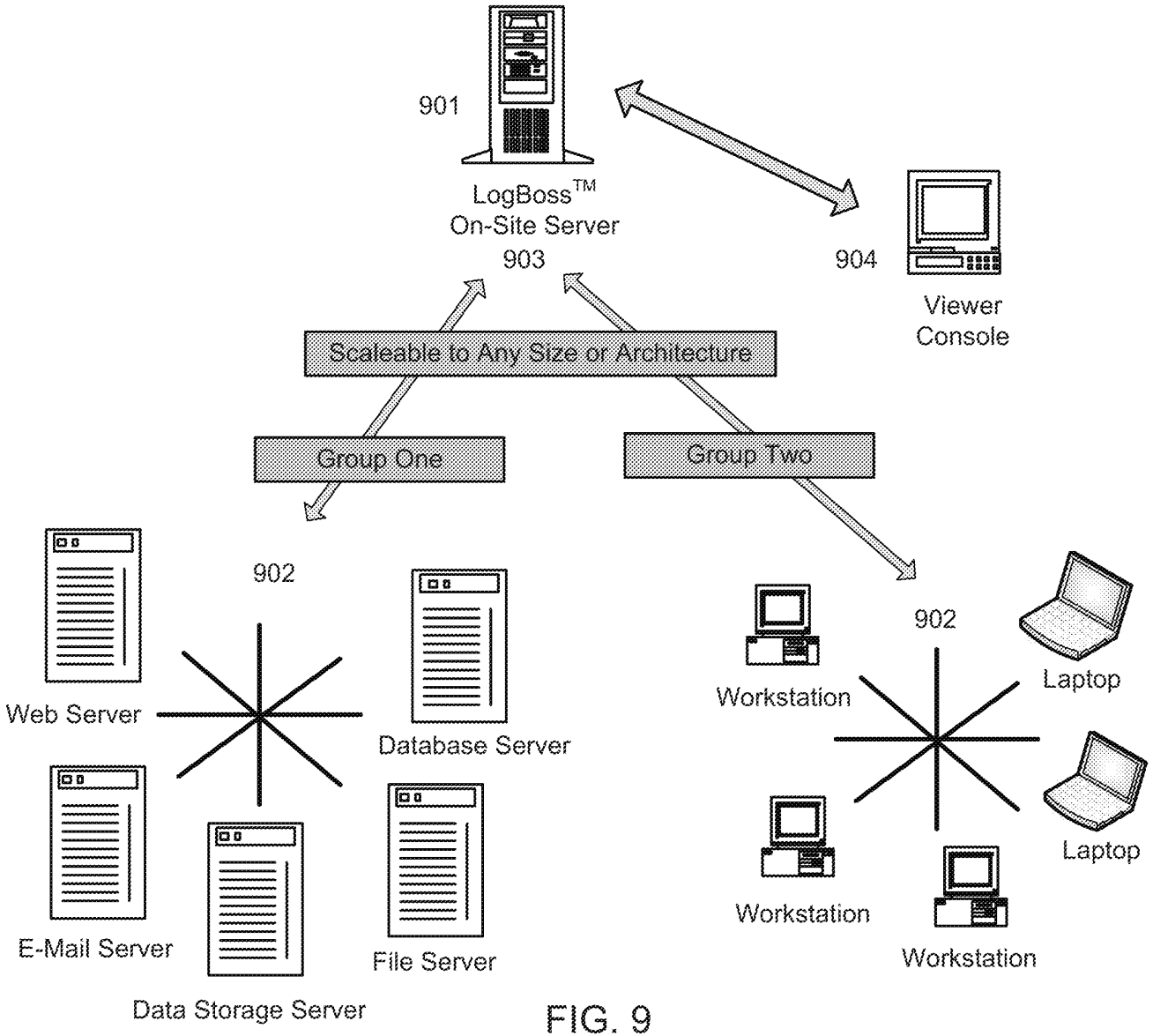



FIG. 9

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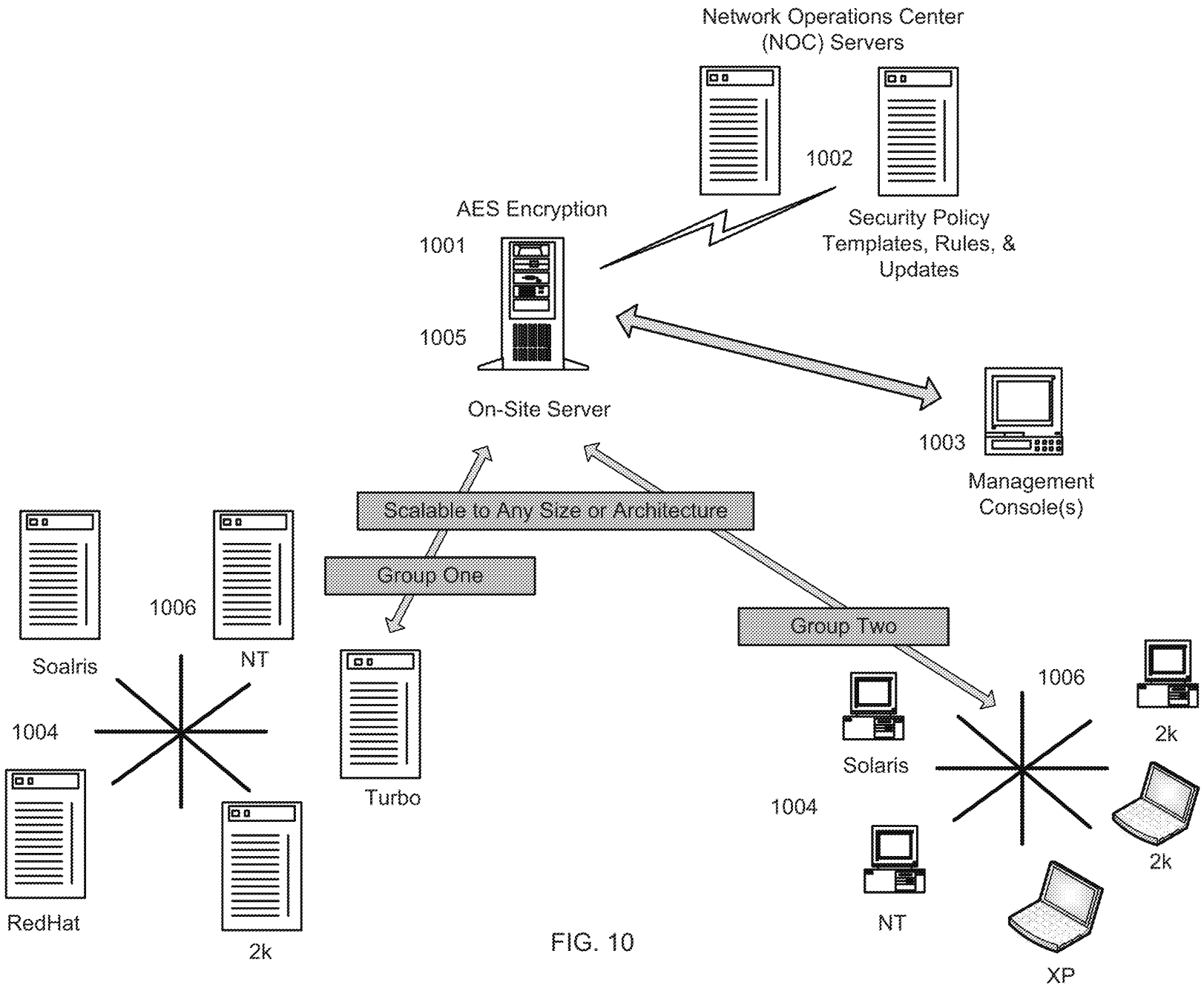



FIG. 10

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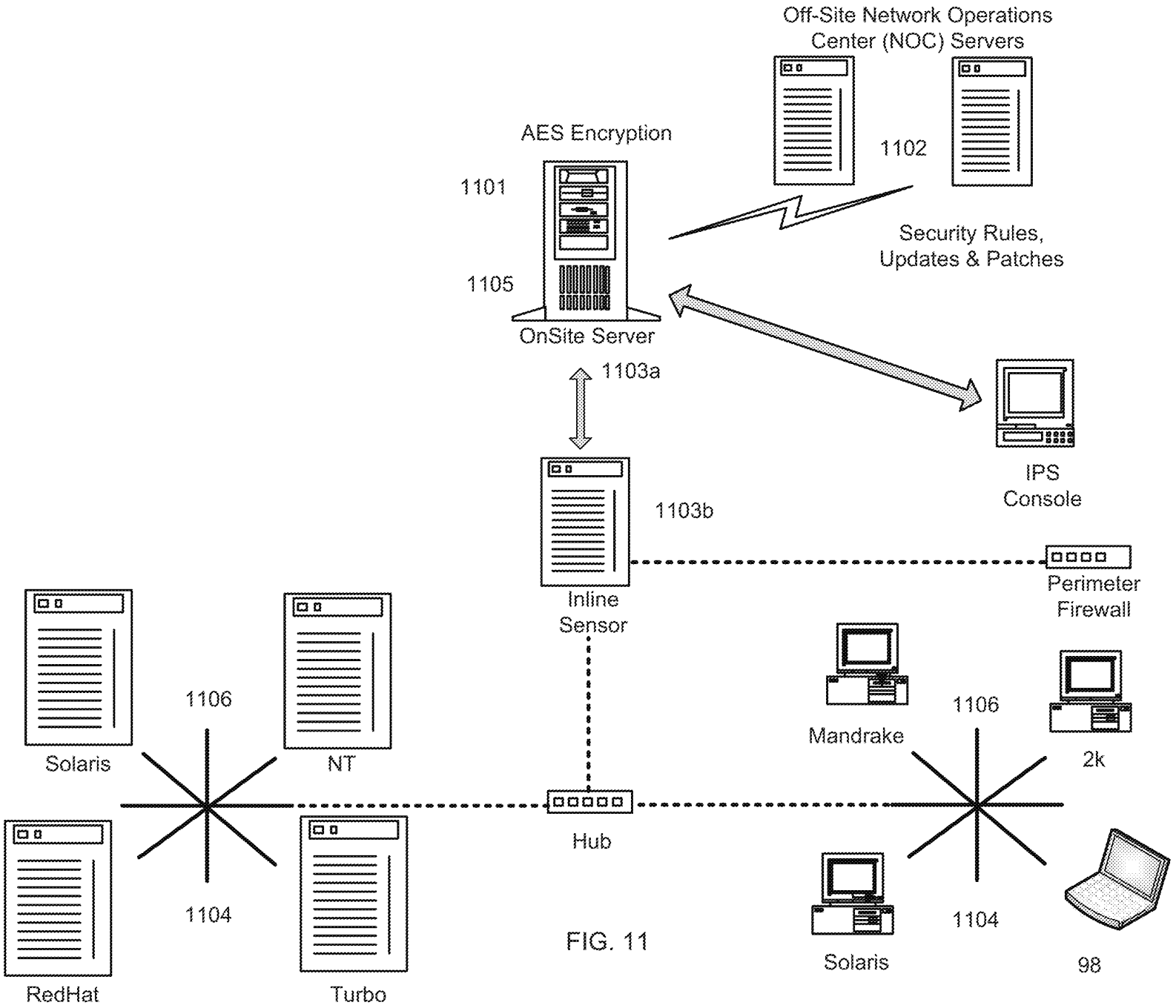



FIG. 11

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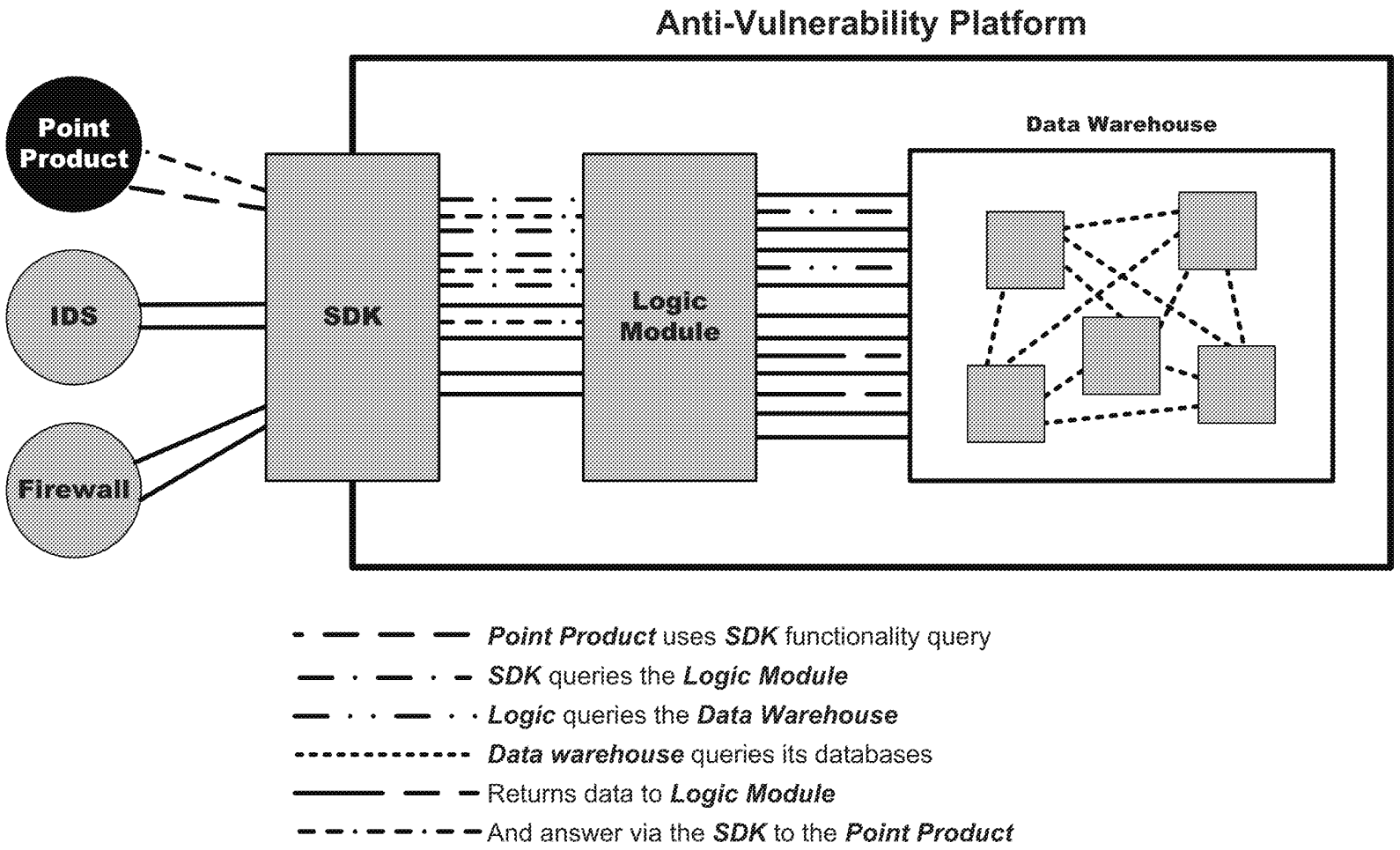



FIG. 12

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# COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

## CROSS-REFERENCE TO RELATED APPLICATIONS

**[0001]** This application is a continuation of, and claims priority to, U.S. App. No.: 14/816,931, filed August 3, 2015, which, in turn, is a continuation of U.S. App. No.: 14/499,230, now U.S. Pat. No.: 9,100,431, filed September 28, 2014 which, in turn, is a continuation-in-part of U.S. App. No.: 14/138,014 filed December 21, 2013, now U.S. Pat. No.: 9,117,069, 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.

## FIELD OF THE INVENTION

**[0002]** The present invention relates to computer systems, and more particularly to management of security of computing and network devices that are connected to other such devices.

## SUMMARY

**[0003]** A system, method, and computer program product are provided for a database associating a plurality of device vulnerabilities to which computing devices can be subject with a plurality of remediation techniques that collectively remediate the plurality of device vulnerabilities. Each of the device vulnerabilities is associated with at least one remediation technique. Each remediation technique associated with a particular device vulnerability remediates that particular vulnerability. Further, each remediation technique has a remediation type are selected from the type group consisting of patch, policy setting, and configuration



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option. Still yet, a first one of the device vulnerabilities is associated with at least two alternative remediation techniques.

## BRIEF DESCRIPTION OF THE DRAWINGS

**[0004]** FIG. 1 is a block diagram of a networked system of computers in one embodiment of the present invention.

**[0005]** FIG. 2 is a block diagram showing components of several computing devices in the system of FIG. 1.

**[0006]** FIGS. 3 and 4 trace signals that travel through the system of FIGS. 1 and 2 and the present invention is applied to them.

**[0007]** FIG. 5A is a flow chart of a filtering proxy method according to one embodiment of the present invention.

**[0008]** FIG. 5B and 6 illustrate a platform, in accordance with possible embodiments.

**[0009]** FIG. 7 illustrates an intelligent IDS, in accordance with one embodiment.

**[0010]** FIG. 8 illustrates an update system, in accordance with one embodiment.

**[0011]** FIG. 9 shows a configured network, in accordance with one embodiment.

**[0012]** FIG. 10 shows policy compliance and enforcement, in accordance with one embodiment.

**[0013]** FIG. 11 illustrates an intelligent IPS, in accordance with one embodiment.

**[0014]** FIG. 12 illustrates an SDK function call flow, in accordance with one embodiment.

## DETAILED DESCRIPTION

## GLOSSARY



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**[0015]** data warehouse = a component that contains vulnerabilities and updates for devices that operate on at least one network

**[0016]** NOC server = network operations center server that periodically synchronize latest vulnerability and update data with other servers.

**[0017]** SDK = software development kit that allows programmers to develop security applications that access data collected in a database

**[0018]** CM application = change management application that controls documentation and logging of change.

**[0019]** For the purpose of promoting an understanding of the principles of the present invention, reference will now be made to the embodiment illustrated in the drawings and specific language will be used to describe the same. It will, nevertheless, be understood that no limitation of the scope of the invention is thereby intended; any alterations and further modifications of the described or illustrated embodiments, and any further applications of the principles of the invention as illustrated therein are contemplated as would normally occur to one skilled in the art to which the invention relates.

**[0020]** Generally, the present invention in one embodiment operates in the context of a network as shown in FIG. 1. System 100 includes a vulnerability and remediation database 110 connected by Internet 120 to subnet 130. In this exemplary embodiment, firewall 131 serves as the gateway between Internet 120 and the rest of subnet 130. Router 133 directs connections between computers 137 and each other and other devices on Internet 120. Server 135 collects certain information and provides certain data services that will be discussed in further detail herein.

**[0021]** In particular, security server 135 includes processor 142, and memory 144 encoded with programming instructions executable by processor 142 to perform several important security-related functions. For example, security server 135 collects data from devices 131, 133, 137, and 139, including the software installed on those devices, their configuration and policy settings, and patches that have been installed. Security server 135 also obtains from vulnerability and remediation database 110 a regularly updated list of security vulnerabilities in software for a



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wide variety of operating systems, and even in the operating systems themselves. Security server 135 also downloads a regularly updated list of remediation techniques that can be applied to protect a device from damage due to those vulnerabilities. In one embodiment, each vulnerability in remediation database 110 is identified by a vulnerability identifier, and the vulnerability identifier can be used to retrieve remediation information from database 110 (and from database 146, discussed below in relation to FIG. 2).

**[0022]** In one embodiment, computers 137 and 139 each comprise a processor 152, 162, memory 154, 164, and storage 156, 166. Computer 137 executes a client-side program (stored in storage 156, loaded into memory 154, and executed by processor 152) that maintains an up-to-date collection of information regarding the operating system, service pack (if applicable), software, and patches installed on computer 137, and the policies and configuration data (including configuration files, and elements that may be contained in files, such as *.ini and *.conf files and registry information, for example), and communicates that information on a substantially real-time basis to security server 135. In an alternative embodiment, the collection of information is not retained on computer 137, but is only communicated once to security server 135, then is updated in real time as changes to that collection occur.

**[0023]** Computer 139 stores, loads, and executes a similar software program that communicates configuration information pertaining to computer 139 to security server 135, also substantially in real time. Changes to the configuration registry in computer 139 are monitored, and selected changes are communicated to security server 135 so that relevant information is always available. Security server 135 may connect directly to and request software installation status and configuration information from firewall 131 and router 133, for embodiments wherein firewall 131 and router 133 do not have a software program executing on them to communicate this information directly.

**[0024]** This collection of information is made available at security server 135, and combined with the vulnerability and remediation data from source 110. The advanced functionality of system 100 is thereby enabled as discussed further herein.

**[0025]** Turning to FIG. 2, one sees additional details and components of the devices in subnet 130. Computers 137 and 139 are traditional client or server machines, each having a processor 152, 162, memory 154, 164, and storage 156, 166. Firewall 131 and router 133 also



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have processors 172, 182 and storage 174, 184, respectively, as is known in the art. In this embodiment, devices 137 and 139 each execute a client-side program that continuously monitors the software installation and configuration status for that device. Changes to that status are communicated in substantially real time to security server 135, which continuously maintains the information in database 146. Security server 135 connects directly to firewall 131 and router 133 to obtain software installation and configuration status for those devices in the absence of a client-side program running thereon.

**[0026]** Processors 142, 152, 162 may each be comprised of one or more components configured as a single unit. Alternatively, when of a multi-component form, processor 142, 152, 162 may each have one or more components located remotely relative to the others. One or more components of processor 142, 152, 162 may be of the electronic variety defining digital circuitry, analog circuitry, or both. In one embodiment, processor 142, 152, 162 are of a conventional, integrated circuit microprocessor arrangement, such as one or more PENTIUM 4 or XEON processors from INTEL Corporation of 2200 Mission College Boulevard, Santa Clara, Calif., 95052, USA, or ATHLON XP processors from Advanced Micro Devices, One AMD Place, Sunnyvale, Calif., 94088, USA.

**[0027]** Memories 144, 154, 164 may include one or more types of solid-state electronic memory, magnetic memory, or optical memory, just to name a few. By way of non-limiting example, memory 40b may include solid-state electronic Random Access Memory (RAM), Sequentially Accessible Memory (SAM) (such as the First-In, First-Out (FIFO) variety or the Last-In First-Out (LIFO) variety), Programmable Read Only Memory (PROM), Electrically Programmable Read Only Memory (EPROM), or Electrically Erasable Programmable Read Only Memory (EEPROM); an optical disc memory (such as a DVD or CD ROM); a magnetically encoded hard drive, floppy disk, tape, or cartridge media; or a combination of any of these memory types. Also, memories 144, 154, 164 may be volatile, nonvolatile, or a hybrid combination of volatile and nonvolatile varieties.

**[0028]** In this exemplary embodiment, storage 146, 156, 166 comprises one or more of the memory types just given for memories 144, 154, 164, preferably selected from the non-volatile types.



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**[0029]** This collection of information is used by system 100 in a wide variety of ways. With reference to FIG. 3, assume for example that a connection request 211 arrives at firewall 131 requesting that data be transferred to computer 137. The payload of request 211 is, in this example, a probe request for a worm that takes advantage of a particular security vulnerability in a certain computer operating system. Based on characteristics of the connection request 211, firewall 131 sends a query 213 to security server 135. Query 213 includes information that security server 135 uses to determine (1) the intended destination of connection request 211, and (2) some characterization of the payload of connection request 211, such as a vulnerability identifier. Security server 135 uses this information to determine whether connection request 211 is attempting to take advantage of a particular known vulnerability of destination machine 137, and uses information from database 146 (see FIG. 2) to determine whether the destination computer 137 has the vulnerable software installed, and whether the vulnerability has been patched on computer 137, or whether computer 137 has been configured so as to be invulnerable to a particular attack.

**[0030]** Security server 135 sends result signal 217 back to firewall 131 with an indication of whether the connection request should be granted or rejected. If it is to be granted, firewall 131 passes the request to router 133 as request 219, and router 133 relays the request as request 221 to computer 137, as is understood in the art. If, on the other hand, signal 217 indicates that connection request 211 is to be rejected, firewall 133 drops or rejects the connection request 211 as is understood in the art.

**[0031]** Analogous operation can protect computers within subnet 130 from compromised devices within subnet 130 as well. For example, FIG. 4 illustrates subnet 130 with computer 137 compromised. Under the control of a virus or worm, for example, computer 137 sends connection attempt 231 to router 133 in an attempt to probe or take advantage of a potential vulnerability in computer 139. On receiving connection request 231, router 133 sends relevant information about request 231 in a query 233 to security server 135. Similarly to the operation discussed above in relation to FIG. 3, security server 135 determines whether connection request 231 poses any threat, and in particular any threat to software on computer 139. If so, security server 135 determines whether the vulnerability has been patched, and if not, it determines whether computer 139 has been otherwise configured to avoid damage due to that vulnerability.



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Security server 135 replies with signal 235 to query 233 with that answer. Router 133 uses response 235 to determine whether to allow the connection attempt.

**[0032]** In some embodiments, upon a determination by security server 135 that a connection attempt or other attack has occurred against a computer that is vulnerable (based on its current software, patch, policy, and configuration status), security server 135 selects one or more remediation techniques from database 146 that remediate the particular vulnerability. Based on a prioritization previously selected by an administrator or the system designer, the remediation technique(s) are applied (1) to the machine that was attacked, (2) to all devices subject to the same vulnerability (based on their real-time software, patch, policy, and configuration status), or (3) to all devices to which the selected remediation can be applied.

**[0033]** In various embodiments, remediation techniques include the closing of open ports on the device; installation of a patch that is known to correct the vulnerability; changing the device's configuration; stopping, disabling, or removing services; setting or modifying policies; and the like. Furthermore, in various embodiments, events and actions are logged (preferably in a non-volatile medium) for later analysis and review by system administrators. In these embodiments, the log also stores information describing whether the target device was vulnerable to the attack.

**[0034]** A real-time status database according to the present invention has many other applications as well. In some embodiments, the database 146 is made available to an administrative console running on security server 135 or other administrative terminal. When a vulnerability is newly discovered in software that exists in subnet 130, administrators can immediately see whether any devices in subnet 130 are vulnerable to it, and if so, which ones. If a means of remediation of the vulnerability is known, the remediation can be selectively applied to only those devices subject to the vulnerability.

**[0035]** In some embodiments, the database 146 is integrated into another device, such as firewall 131 or router 133, or an individual device on the network. While some of these embodiments might avoid some failures due to network instability, they substantially increase the complexity of the device itself. For this reason, as well as the complexity of maintaining security database functions when integrated with other functions, the network-attached device embodiment described above in relation to FIGS. 1-4 is one possible embodiment.



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**[0036]** In one embodiment, a software development kit (SDK) allows programmers to develop security applications that access the data collected in database 146. The applications developed with the SDK access information using a defined application programming interface (API) to retrieve vulnerability, remediation, and device status information available to the system. The applications then make security-related determinations and are enabled to take certain actions based on the available data.

**[0037]** In these exemplary systems, "configuration information" for each device may take the form of initialization files (often named *.ini or *.conf), configuration registry (such as, the Windows Registry on Microsoft WINDOWS operating systems), or configuration data held in volatile or non-volatile memory. Such configuration information often determines what and how data is accepted from other devices, sent to other devices, processed, stored, or otherwise handled, and in many cases determines what routines and sub-routines are executed in a particular application or operating system.

**[0038]** In one embodiment, security information management system is provided, wherein a database of potential vulnerabilities is maintained, along with data describing remediation techniques (patches, policy settings, and configuration options) available to protect against them. At least one vulnerability is associated in the database with multiple available remediation techniques. In one embodiment, the system presents a user with the list of remediation techniques available to protect against a known vulnerability, accepts the user's selection from the list, and executes the selected technique. In other embodiments, the system uses a predetermined prioritization schedule to automatically select among the available remediation techniques, then automatically executes the selected technique.

**[0039]** One embodiment of the present invention is a database of information about a plurality of devices, updated in real-time and used by an application to make a security-related decision. The database stores data indicating the installed operating system(s), installed software, patches that have been applied, system policies that are in place, and configuration information for each device. The database answers queries by one or more devices or applications attached by a network to facilitate security-related decision making. In one form of this embodiment, a firewall or router handles a connection request or maintenance of a connection based on the



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configuration information stored in the database that relates to one or both of the devices involved in the transmission.

**[0040]** In one embodiment, database 146 includes vulnerability and remediation information such that, for at least one vulnerability, multiple methods of remediating the vulnerability are specified. When the system has occasion to implement or offer remediation of a vulnerability, all known alternatives are presented that are relevant to the device or machine's particular configuration or setup. For example, when a vulnerability of a device is presented to an administrator, the administrator is given a choice among the plurality of remediation options to remediate the vulnerability. In some embodiments, the administrator can select a preferred type of remediation that will be applied if available and a fallback type. For example, an administrator may select application of a policy setting over installation of a software patch, so that the risk of disruption of critical business systems is minimized.

**[0041]** In other embodiments, an administrator or other user is presented with a set of user interface elements that identify multiple options for remediating and identifying the vulnerability. The administrator or user selects the method to be used, and that remediation is applied to the vulnerable device(s).

**[0042]** FIG. 5A is a flow chart of a filtering proxy method according to one embodiment of the present invention.

**[0043]** In use, a database maintains security status information on each device in a network, based on whether the device's operating system, software, and patches are installed and configured to meet a baseline level of security. A network gateway proxy blocks connection attempts from devices for which the database indicates a substandard security status, but allows connections from other devices to pass normally. The database is preferably updated on a substantially real-time basis by client-side software run by each device in the network.

**[0044]** Another form of the present embodiment includes a connection proxy that filters connections originating within the network. In particular, one embodiment employs a proxy that denies connection attempts originating with devices in the network when the originating device has a status, reflected in the database, that fails to meet predetermined security characteristics in terms of installed operating system and software, patch levels, and system policy and configuration registry information.



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**[0045]** In this embodiment, router 133 serves as a connection proxy for devices and subnet 130, as will be understood by those skilled in the art. In addition to basic proxy functionality, however, router 133 accesses database 146 on security server 135 via the SDK at each connection attempt. If, for example, device 137 attempts to connect to any device where the connection must pass through the proxy server (router 133 in this example), such as a device on Internet 120, router 133 checks the security status of device 137 in database 146, using the real-time status therein to determine whether device 137 complies with one or more predetermined security policies. If it does, router 133 allows the connection to be made. If it does not, router 133 prevents the connection, preferably redirecting the connection to a diagnostic page that explains why the connection is not being made.

**[0046]** This system is illustrated by method 200 in FIG. 5A. Method 200 begins with start point 201. The proxy (router 133 in the above example) receives a connection request at block 203, then retrieves the security status of the source device at block 205. This preferably uses the real-time updated status information from database 146 (see FIG. 2) at decision block 207. If the security status indicates that the source device complies with the predetermined security policy, the proxy allows the connection at block 209. If not, the proxy refuses the connection at block 211 and redirects the connection to an explanation message (such as a locally generated web page or other message source) at block 213. In either case, method 200 ends at end point 219.

**[0047]** In possible embodiments, the determination and decision at block 207 apply a comprehensive minimum policy set that protects other devices in subnet 130 (see FIG. 1) from viruses, trojans, worms, and other malware that might be inadvertently and/or carelessly acquired due to the requested connection.

**[0048]** In another embodiment, a security information management system is provided, wherein client-side devices preferably collect and monitor information describing the operating system, software, and patches installed on the device(s), as well as configuration thereof. A database of this information is maintained, along with data describing vulnerabilities of available software and associated remediation techniques available for it. The system exposes an API to support security-related decisions by other applications. For example, an intrusion detection system (IDS) accesses the database to determine whether an actual threat exists and should be (or has been) blocked.



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**[0049]** In another form of this embodiment, client software runs on each monitored device and reports configuration information to the database, so that the database has substantially real-time-current information.

**[0050]** The present embodiment of the present invention advantageously acquires the real-time status information from each client using client-side software. In this manner, a resource burden of monitoring is spread among the devices being monitored, and uses far fewer network resources in the process.

**[0051]** In these exemplary systems, "configuration information" for each device may take the form of initialization files (often named *.ini or *.conf), configuration registry (such as the Windows Registry on Microsoft Windows operating systems), or configuration data held in volatile or non-volatile memory. Such configuration information often determines what and how data is accepted from other devices, sent to other devices, processed, stored, or otherwise handled, and in many cases determines what routines and sub-routines are executed in a particular application or operating system.

**[0052]** In one embodiment, a system maintains a database of vulnerabilities and associated remediation techniques. The remediation techniques include software patches, policy settings or changes, and registry settings or changes. This multi-faceted provides novel flexibility in management of security issues, and convenience for security administrators in both determining available options and selecting remediation steps for vulnerable systems.

**[0053]** In another embodiment of the present invention, patches, policy changes, software updates, and configuration changes are rolled out to devices on a network using a staged roll-out technique. In this technique, the change is applied to a selected device or set of devices identified by an administrator. After a predetermined amount of time passes, unless the administrator has canceled the roll-out, the change is applied to an additional group of devices on the network. Third- and fourth-tier groups may also be identified by the administrator, where implementation of the remediation or upgrade is automatically effected in subsequent stages a predetermined amount of time after the preceding stage roll-out. Thus, if no failures are noted following a more limited roll-out (on a first set of devices), then the remediation or upgrade is automatically applied to other devices. If, on the other hand, an error or failure is observed, the subsequent roll-out can be canceled so that further failures and problems are avoided.



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**[0054]** FIG. 5B and 6 illustrate a platform, in accordance with possible embodiments.

**[0055]** In one possible embodiment, provided is a platform and underlying back end that includes a logic engine and vulnerability data warehouse. It may easily integrate with and enable network security products 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 patch management and vulnerability remediation application. Thereby, the technology may improve system accuracy and efficiencies, minimize false positives and false negatives, and provide policy compliance and enforcement capabilities.

**[0056]** The latest network compromises are combining qualities of viruses, worms, and denial of service attacks into new blended attacks. Additionally, blended attacks may now 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 network security components layered at the perimeter and to internal network machines and devices. The security components are managed separately, and possibly their data is ported into a Security Information Management System (SIMS) correlation engine.

**[0057]** However, network security components and correlation engines rely on signatures or anomalies, producing an ever-increasing quantity of data, including false positive, benign, and erroneous events. They also lack the intelligence to identify, reference, or remediate the vulnerabilities targeted by the attack. Furthermore, the time and cost to acquire, manage, and maintain these numerous network security components is overwhelming the end user. Therefore, more sophisticated technology is provided to resolve these performance and management issues.

**[0058]** In one embodiment, technology may be provided that addresses these requirements by making each security component smarter and provides managers with remote remediation options. Thereby, improving system performance and streamlining management processes.

**[0059]** In one embodiment, an intelligent integration platform and SDK are provided to meet the above requirements.



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**[0060]** In one embodiment, security products are enhanced and system intelligence may be provided. The same vulnerability data warehouse information is shared with the products so that more intelligent actions may then be taken to mitigate complex threats.

**[0061]** One embodiment cross-references the threat's identifier with the target's configuration. The threat's CVE ID, or other identifier, and the destination IP address are fed into the logic engine where it cross-references the threat with the machine's existing OS, application, and patch configuration profile. An answer is returned accurately indicating if the machine is vulnerable.

**[0062]** In one embodiment, network vulnerabilities are identified. The platform may independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

**[0063]** One embodiment proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function may be 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.

**[0064]** Examples of Anti-Vulnerability applications that may be integrated into network security products for enterprise and small office home office (SOHO) networks when integrated with one embodiment, via the SDK, will be described.

**[0065]** In one embodiment, update or patch deployment are provided, which remotely remediate network vulnerabilities and provide policy compliance and enforcement capabilities. And, for the consumer market, it may additionally support non-security related updates such as application version, performance, and bug-fix upgrades.

**[0066]** In one embodiment, an IDS may be provided that accurately determines if the targeted machine is actually vulnerable to an attack; virtually eliminates false positives and false negatives; and adds vulnerability remediation and policy compliance and enforcement functionalities.

**[0067]** In one embodiment, a scanner may be provided that virtually eliminates false positive and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities.



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**[0068]** In one embodiment, a firewall may be provided that virtually 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.

**[0069]** In one embodiment, vulnerability management may be provided, as set forth above.

**[0070]** In one embodiment, multiple products are provided including an 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.

**[0071]** In one embodiment, change management may be provided, which may 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 may automatically deploy and install the update/patch. Finally, they may also verify correct operation after installation and automatically provide all necessary documentation and logging required.

**[0072]** Lastly, the platform may also provide product upgrades and signature updates to each of these various security products.

**[0073]** The platform is comprised of the following software components: SDK, client agent, logic engine, and data warehouse stored on a dedicated on-site server. Network operations center (NOC) Servers periodically synchronize the customers' servers with the latest vulnerability and update data. See FIG. 5B.

**[0074]** The same client agent and on-site server support all security applications that are integrated onto the platform, thereby providing the added anti-vulnerability functionalities presented in the previous section.

**[0075]** There are two system requirements: TCP/IP connectivity, and supported network machines and devices. In one embodiment, platforms supported are set forth below in Table 1.

Table 1



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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

**[0076]** Platform support is scalable to any network size or architecture; consumer, small office home office (SOHO), enterprise, and distributed networks.

**[0077]** In one embodiment, technology may be provided that includes a backend platform that includes a logic engine and vulnerability data warehouse. It may easily integrate with and enable network security products 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 patch management and vulnerability remediation application, update application and the intelligent IDS. Thereby, the technology may improve system accuracy and efficiencies, minimize false positives and false negatives, and provide policy compliance and enforcement capabilities.

**[0078]** As shown in FIG. 5B, the technology may meet market requirements, presented in the next section.

**[0079]** For example, networks are probed at an ever-increasing frequency for vulnerabilities, which may be exploited with compromise attacks. To protect the network, administrators have traditionally set up perimeter defense strategies.

**[0080]** 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 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.

**[0081]** 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



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by using metamorphic or polymorphic abilities, viruses are able to change their signatures to avoid the fingerprint-type filtering that most applications employ.

**[0082]** To mitigate these new risks, organizations deploy a multi-tiered network defense strategy comprised of a variety of additional network security products layered at the perimeter and to internal network machines and devices. Such network security products include antivirus, firewall, scanners, and network and host based intrusion detection systems.

**[0083]** 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. The security components are managed separately, and possibly their data is ported into a security information management system (SIMS) correlation engine.

**[0084]** Additionally, to proactively remediate the vulnerabilities the malicious code is targeting, administrators 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 may require higher standards of network security and integrity to protect consumer privacy, and they are documented with change tracking and audit trail reports.

**[0085]** 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.

**[0086]** Thus, the multi-tiered network defense strategy is falling short primarily for four reasons. First, there is an inability of multi-tiered network security products to communicate and share information necessary to mitigate blended threats, and minimize false positives and false negatives. The vulnerabilities targeted by malicious code are not accurately identified nor proactively remediated. The associated excessive aggregate cost of ownership of multiple systems. The excessive administrative burden and cost of managing and maintaining multiple systems.



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**[0087]** 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.

**[0088]** In one embodiment, technology is provided to meet the following market requirements: integrate network security products to share information; provide system intelligence; and remediate network vulnerabilities.

**[0089]** In one embodiment, technology may integrate with and enable network security 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.

**[0090]** In one embodiment, the 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.

**[0091]** In one embodiment, the platform enables network security products to share information via its proprietary logic engine to automatically cross-reference the threat identifier with the targeted machine's configuration to determine if it is actually 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 and add a SIMS is reduced, in-turn decreasing the amount of data – particularly erroneous data – to manage. Subsequently, the costs to acquire, operate, and manage the additional multiple point products, and the need to implement a SIMS, are also reduced.

**[0092]** In one embodiment, the platform may 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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**[0093]** In one embodiment, the present technology fulfills market requirements noted in the previous section. For example, it may integrate network security products and provides system intelligence. The same vulnerability data warehouse information is shared with all products so that more intelligent actions may then be taken to mitigate complex threats.

**[0094]** Still yet, it may cross-reference the threat's identifier with the target's configuration. The threat's CVE ID, or other identifier, and the destination IP address are fed into the logic engine where it cross-references the threat with the machine's existing OS, application, and patch configuration profile. An answer is returned accurately indicating if the machine is vulnerable. Thereby, minimizes erroneous, benign, and false positive data produced by each security product.

**[0095]** One embodiment identifies network vulnerabilities. The platform may independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly.

**[0096]** One embodiment proactively remediates the vulnerability. Once a vulnerability is identified, a remediation function may be 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.

**[0097]** Various possible benefits include blended attacks being more effectively mitigated and the overwhelming management and maintenance burden on administrators to purchase, operate, and maintain multiple network security products being reduced, while increasing productivity, reducing costs, and more effectively and efficiently meeting policy compliance and enforcement requirements.

**[0098]** Table 2 illustrates a plurality of end user details.

Table 2

- Supplements existing technology to better defend against blended attacks



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



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- 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.
- Applications presented hereinafter

**[0099]** Examples of applications that may be made available for enterprise and small office home office (SOHO) networks when integrated with Anti-Vulnerability technology via the SDK will now be set forth.

**[00100]** In one embodiment, update or patch deployment is provided. In one embodiment, a patch management and vulnerability remediation solution is provided. The technology enables products to add accurate vulnerability identification, remediation, verification, and policy compliance functions. With such technology, products may 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 may additionally support non-security related updates such as application version, performance, and bug-fix updates for widely distributed programs, which may optimize system performance and enhance the consumer experience.

**[00101]** In one embodiment, an IDS is provided. IDS products attempt to identify malicious code by signatures at both the network and host client level. While they may be able to identify malicious code by CVE ID or other identifier, and targeted machines by IP address, but 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, or if the targeted vulnerability has already been patched. For example, if the malicious code has been written as a Windows based attack targeting a Windows vulnerability, is the Destination IP actually running Windows, or a UNIX variant? And, if Windows, is it vulnerable to the attack, or has it already been patched? IDS do not have the intelligence to answer these questions, and incident alerts are generated indiscriminately. Lastly, even if the targeted machine is vulnerable - it remains unremediated – an IDS does not have the capability to remediate it.



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**[00102]** With the present embodiment, 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 may 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. Integrated products may 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.

**[00103]** In one embodiment, scanners may be provided. 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.

**[00104]** With the present embodiment, a product architect can integrate functionalities listed in the previous section to enable the scanner to access the logic engine and platform, and then have the intelligence to determine if the machine has actual vulnerabilities, remediate them, and verify policy compliance. Integrated products may gain intelligence, accuracy, and efficiency, eliminated false positives and false negatives, and ensured policy compliance, thereby saving the organization time and money.

**[00105]** In one embodiment, a firewall may be provided. "Smart" firewalls are based in part on signatures and other similar functionalities as the IDS products described above.

**[00106]** With the present embodiment, 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 may be available for both the enterprise and SOHO networks.

**[00107]** In one embodiment, vulnerability management may be provided. 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.



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**[00108]** The present embodiment 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.

**[00109]** To this end, multiple products may be provided: 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.

**[00110]** In one embodiment, they each may communicate with the same backend 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 may also enable the products to add accurate vulnerability identification, remediation, verification, and policy compliance and enforcement functionalities.

**[00111]** In one embodiment, change management (CM) may be provided. Existing 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.

**[00112]** The user enters the request in the system, through the pipelined 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 may be provided to identify the patches/updates needed, nor verifying correct function after the update/patch is installed.

**[00113]** With the current possible embodiment, change management integration may greatly streamline this process further reducing total cost of ownership, ease of use, and a higher standard of documentation. The products may then automatically create a change request in the system, specifying what update/patch is applicable to what system or groups of systems by



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vulnerability. After approval of the request, they may automatically deploy and install the update/patch. Finally, they may also verify correct operation after installation and automatically provide all necessary documentation and logging required.

**[00114]** Lastly, one possible embodiment may also provide product upgrades and signature updates to each of these various security products - including all of the technology benefits such as ensuring compliance of signature versions, logging, reporting, and verification of installation.

**[00115]** Thus, one possible embodiment includes an intelligent platform that may supplement any existing defense strategy. Once integrated with the technology, security products 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, reducing total cost ownership, and more effectively and efficiently attaining policy compliance and enforcement requirements.

**[00116]** One embodiment provides IDS intelligence, accuracy and remote patching functions - IDS data output integrated with the aforementioned platform via the SDK. The platform's underlying backend including a logic engine and vulnerability data warehouse provides the added functions and performance.

**[00117]** Conventional IDS produce an ever-increasing quantity of alert data, including erroneous and false positive data. They also lack the intelligence to identify or remediate the vulnerabilities targeted by the attack. Furthermore, the cost of the acquiring, managing, and maintaining conventional IDS is overwhelming the end user.

**[00118]** Therefore, a more sophisticated, intelligent technology is provided to resolve these issues. In one embodiment, an intelligent IDS is provided to meet market requirements. The alert data output from a distribution of Snort is integrated with the platform via the SDK, which may add the following functions.



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**[00119]** In one embodiment, it cross-references the threat's identifier with the target's configuration. The CVE ID, or other identifier, and the Destination IP address are fed into the logic engine where it cross-references the threat with the machine's configuration profile.

**[00120]** In one embodiment, it virtually eliminates false positives and false negatives. The backend accurately determines in real time if the targeted machine is susceptible to the attack. And, if the machine is not susceptible, it is filtered and reported back as an event and not an incident. No further data or alert is generated, and a management response is not required.

**[00121]** In one embodiment, it remotely remediates the vulnerability. When a machine is identified as vulnerable to an attack, an incident, a remediation function may be provided to the administrator to remotely deploy the appropriate update to the machine or device, install it, verifies the files and hashes, and document it with change tracking and audit trail reports.

**[00122]** Table 3 sets forth a plurality of features.

Table 3

| |
|---|
| Supports Windows and UNIX variants |
| Determines if targeted machine is vulnerable to an attack in real time |
| Filters out erroneous, benign and false positive alerts |
| Remotely patches targeted vulnerabilities in one click |
| Installs in minutes |

**[00123]** To this end, erroneous, benign, and false positive data is filtered out, and incidents may be remotely remediated. Therefore, complex threats are more effectively and efficiently mitigated. Correspondingly, the management and maintenance burden on administrators is reduced, saving time and effort.

**[00124]** FIG. 7 illustrates an intelligent IDS, in accordance with one embodiment. As shown in 701, the on-site server periodically initiates communication with the NOC servers. In 702, updates are pulled from the NOC servers to the on-site server. In 703a, a sensor monitors and processes network traffic, and sends real time alert data to the on-site server where it cross-



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references the data with the backend. In 703b, centralized IDS console filters alerts; separating events from incidents. It also offers administrators remote patching function. In 704, agents are deployed to each client, accurately identifying which OS, apps, and updates are installed. In 705, the logic engine automatically determines which updates are needed to remediate the targeted machine. As shown in 706, appropriate updates are remotely deployed, installed, and validated on each client.

**[00125]** In one embodiment, the intelligent patch management and vulnerability remediation application automatically updates computer OS and application vulnerabilities before they can be exploited by hackers and viruses.

**[00126]** Networks are probed at an ever-increasing frequency for vulnerabilities, which may be exploited with directed compromise attacks. To protect the network, administrators must diligently update or "patch" server and workstation vulnerabilities, 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 to protect consumer privacy and proprietary data, which must be documented with change tracking and audit trail reports. Therefore, fully automated technology is provided to resolve these issues.

**[00127]** In one embodiment, a intelligent application called SysUpdate — the first technology to fully automate the updating and reporting processes, as described below.

**[00128]** In terms of function, one possible embodiment automatically researches updates. In collaboration with software development companies, it receives updates and their respective compatibility and installation guidelines, which are thoroughly reviewed and tested in a lab for system compatibility and stability. One embodiment automatically and securely downloads, and archives, all updates. Once the updates and guidelines are thoroughly reviewed and tested, they are automatically downloaded to each customer's on-site server, verified with MD5 hashes, and archived in a self-populating patch repository database.

**[00129]** One possible embodiment automatically determines the update and dependency requirements for all computers on a network, based on their individual operating systems, applications, and previously installed updates. The logic engine automatically matches the tested updates and their guidelines across each computer's configuration profile.



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**[00130]** One possible embodiment remotely, securely, and automatically deploys updates to each computer and device. Updates may be tested on a test group, and then queued for release to each computer on the network, consistently in accordance with the policy determined by the network administrator.

**[00131]** One possible embodiment automatically verifies the updates are installed and running correctly. Each computer's client agent installs the updates, and verifies the files and hashes.

**[00132]** One possible embodiment automatically generates change tracking and audit trail reports. Change tracking and audit trail reports may be selected and printed from the management console reporting modules. Additionally, application license audit reports may be generated, which lists software installed on each machine, by license key.

**[00133]** Table 4 illustrates possible features in one embodiment.

Table 4

| |
|---|
| Supports Windows, UNIX variants, and network devices |
| Supports non-Microsoft applications |
| Logic engine provides system intelligence |
| Files verified with SHA1 or MD5 hashes |
| MMC snap-in console with Crystal Reports |
| AES encryption |

**[00134]** FIG. 8 illustrates an update system, in accordance with one embodiment.

As shown in 801, the on-site server periodically initiates communication with the off-site NOC servers. In 802, updates are pulled from the NOC servers to the on-site server. In 803, the centralized MMC snap-in console offers flexible security policy options and comprehensive reporting capabilities. In 804. agents accurately identifies OS, apps, and updates installed on each client by file versions and hashes. In 805, logic engine automatically determines which updates are needed on each client, taking into account OS, app, and update dependencies. In 806, appropriate updates are automatically deployed, installed, and validated on each client.



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**[00135]** In one embodiment, a secure computer log management application is provided with fully automated archiving, querying, and reporting options.

**[00136]** Best practice directives and government compliancy regulations now require administrators to archive log events over an extended period of time, and extensively document log and audit trail reports. With existing tools, these are time-consuming processes. Furthermore, existing tools transfer logs in clear text and are subject to malicious manipulation, and logs may be lost since few utilize guaranteed delivery protocols. Therefore, the integrity and security of the log data is not assured. In the event of an internal or external compromise, logs may be deleted, manipulated, or the network flooded with decoy log data.

**[00137]** The present possible embodiment automatically and continuously transfers logs from each computer into a self-configuring, self-populating, maintenance-free database where they may be archived for years on end. The transfer process utilizes AES encryption for authentication between the client and server, and a guarantee delivery protocol — ensuring no data is compromised or lost. Flexible cross-correlation queries may be run from a single, remote viewer console, and the data is then automatically formatted into reports.

**[00138]** In one embodiment, cross-correlation query type descriptions are provided. Such embodiment may provide the following three flexible cross-correlation queries in Table 5, which provide increasing detail and breadth of filtering/sorting capabilities, respectively.

Table 5

General Queries – This is the default query. It filters or sorts the logs of any one computer, by any one of the three log types.

Specific Queries – Detailed queries across all machines, and all log types.

Advanced Queries – Query across any combination of machines, by any combination of sources, events, and log types, over any period of time.

**[00139]** In one embodiment, features shown in Table 6 may be provided.



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Table 6

- Continuously pulls all logs into a central database, which may be archived for years on end
- AES encryption and a guarantee delivery protocol ensure logs are not compromised or lost
- Queries may be across any computer, for any log type, over any time frame
- Automatically generates event log reports — ideal for documenting audit and compliance requirements
- Easy download installation

**[00140]** In one embodiment, automated reports may be provided. Query data is automatically formatted into professional reports Also, a separate reporting interface is available to generate general, machine, and user statistics. The present embodiment quickly and easily fulfills best practice and government compliance requirements for log event archiving and reporting.

**[00141]** FIG. 9 shows a configured network, in accordance with one embodiment.

**[00142]** As shown in 901, the server component automatically configures the application, and the database and communicates with the client agents. In 902, client agents are deployed, which then identifies, manages, and continuously transfers all logs to the server. In 903, all client log data may be automatically archived the self-populating database, for years on end. In 904, from the centralized viewer, general, specific, or advanced cross-correlation queries may be run. See Table 7. Query and statistics data is automatically formatted into professional reports to easily document audit and compliance requirements.

Table 7



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| **Filter/Sort By:** | **General** | **Specific** | **Advanced** |
|---|---|---|---|
| # of Computers | Any One | Any One | Any |
| # of Log Types | Any One | All | Any |
| Period of Time | Last or All | Last or All | Any |
| # of Event Detail Fields * | By ID Only | Any One | Any |

* Defined as Time/Date Written, UserID, ComputerID, EventID, Source, Type, and Category

**[00143]** One possible embodiment provides best practice security policy templates to proactively and remotely manage and enforce enterprise security compliance policies.

**[00144]** Best practice and government compliance directives require higher standards of network security to protect consumer privacy and proprietary data, which must be consistently enforced, and documented with change tracking and audit trail reports for compliance verification. Therefore, a fully automated technology is provided to resolve these issues.

**[00145]** One embodiment offers an intelligent application to manage and enforce security policies — the first technology to fully automate the policy configuration, enforcement, and reporting processes, as described below.

**[00146]** In one embodiment, centralized, remote management is provided. The policy compliance and enforcement module is managed via the centralized management console - in MMC format, and automates the deployment, assessment, and enforcement of the policy chosen.

**[00147]** One embodiment provides standardized policies selected from many standardized policy templates recommended by NSA, SANS, US Navy, and ISO 17799, or custom policy options to formulate policies that meet the individual needs of any organization.

**[00148]** One possible embodiment automatically determines out-of-compliance parameters for all computers and devices on a network. Based on each client's individual policy parameter settings and configuration profile, the system's logic engine automatically reports back each client's out-of-compliance parameters.



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**[00149]** In one embodiment, it remotely, securely, and automatically enforces policy to each computer or device. Policy changes may be automatically enforced to each computer or device individually, or by group, consistently in accordance with the policy selected by the network administrator. Policy configuration profiles are transmitted between client agent and server in an AES encrypted format for security and privacy. Policy options may be rolled back with one-click.

**[00150]** Automatically generates change tracking and audit trail reports. Change tracking and audit trail reports may be selected and printed from the Management Console's Reporting Center. Table 8 sets forth some possible features.

Table 8

| |
|---|
| Supports Windows, UNIX variants, and network devices |
| Supports NSA, SANS, Navy, ISO 17799 and other standardized policies |
| Logic engine provides system intelligence |
| One-click policy rollback |
| Automatically generates change tracking and audit trail reports |

**[00151]** FIG. 10 shows policy compliance and enforcement, in accordance with one embodiment.

**[00152]** As shown in 1001, the on-site server periodically initiates communication with the off-site NOC servers. In 1002, templates, rules, and updates are pulled from the NOC servers to the on-site server. In 1003, a centralized management console offers flexible security policy templates, options, and comprehensive reporting capabilities. In 1004, agents are automatically deployed to each client, accurately identifying which policy parameters, OS, apps, and updates are applied or installed. In 1005, a logic engine automatically determines which clients are out of compliance. In 1006, appropriate policy changes are automatically enforced on each client.

**[00153]** In one embodiment an intelligent IPS may be provided that provides intelligence, accuracy, real-time prevention, and remote patching functions. In one embodiment, it accurately



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identifies and prevents malicious code from reaching their destination at the in-line IPS Sensor. Thereafter, a security officer may remotely patch the targeted vulnerability.

**[00154]** Conventional IDS/IPS produce an ever-increasing quantity of alert data, including erroneous and false positive data. They also lack the intelligence to identify or remediate the vulnerabilities targeted by the attack. Furthermore, the cost of the acquiring, managing, and maintaining conventional IPS is overwhelming the end user.

**[00155]** Therefore, a more sophisticated, intelligent technology is provided to resolve these issues, by offering an intelligent IPS to meet market requirements. The alert data output from a standard distribution of Snort is integrated with the platform via the SDK which accurately identifies attacks, and the attack is terminated at the in-line sensor – as described in the following functions.

**[00156]** One embodiment cross-references the threat's identifier with the target's configuration. The in-line Sensor monitors and processes traffic and sends alert data to the on-site server where its logic engine queries the backend in real-time to determine if the destination IP is vulnerable to the attack.

**[00157]** One possible embodiment provides enhanced flex response. If the destination IP is vulnerable to the attack, the in-line Sensor is commanded to immediately drop the exploit packets – preventing the attack. Further, it remotely remediates the vulnerability. When a machine is identified as vulnerable to an attack, an incident, a remediation function is also provided to the administrator to remotely deploy the appropriate update to the machine or device, install it, verifies the files and hashes, and documents it with change tracking and audit trail reports.

**[00158]** In one embodiment, attacks are accurately identified and mitigated before they reach their targets, and targeted vulnerabilities may be remotely remediated. Therefore, complex threats are more effectively and efficiently mitigated. Correspondingly, the management and maintenance burden on administrators is reduced, saving time and effort.

**[00159]** Table 9 illustrates some possible features.

Table 9



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Supports Windows and UNIX variants
Determines in real-time if targeted machine is vulnerable to an attack, virtually eliminating false positives
in-line Sensor flex response terminates the attack
Remotely patches targeted vulnerabilities in one click
Installs in minutes

**[00160]** FIG. 11 illustrates an intelligent IPS, in accordance with one embodiment.

**[00161]** As shown in 1101, the on-site server periodically initiates communication with the NOC servers. In 1102, updates are pulled from the NOC servers to the on-site server.

**[00162]** In 1103a, an IPS in-line sensor monitors and processes network traffic, and sends real time alert data to the on-site server where it cross-references the data with the backend. In 1103b, if the destination IP is vulnerable to the attack, the in-line Sensor is commanded in real-time to drop the malicious packets. As shown in 1104, agents are deployed to each client, accurately identifying which OS, apps, and updates are installed. In 1105, the logic engine automatically determines which updates are needed to remediate the targeted machine, and may be remotely deployed from the IPS console. In 1106, appropriate updates are remotely deployed, installed, and validated on each client.

**[00163]** In one embodiment, an anti-vulnerability SDK is provided. The SDK was designed to be a simple integration pathway to the Anti-Vulnerability platform backend. The SDK is documented and deliverable. The SDK is compatible with many different programming languages such as C, C++, VB, Java, and others.

**[00164]** 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 simple function calls as detailed hereinafter. A product architect chooses the functionality desired, inserts the provided functionality SDK code into the product code. The SDK code may then query – via the logic engine – the data warehouse, and in turn may return an answer to the point product. The architect can then show the results in any format desired in the product's interface.



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Full vulnerability remediation and policy compliance and enforcement functionalities may be integrated as well.

**[00165]** FIG. 12 illustrates an SDK function call flow, in accordance with one embodiment.

**[00166]** Hence, the SDK 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.

**[00167]** Furthermore, the SDK 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 and enforcement functionalities.

**[00168]** Anti-Vulnerability functions that are accessible via the SDK. The functions are presented in groups, as follows in Table 10.

Table 10

| |
|---|
| Session Management |
| Group Management Functions |
| Client Management Functions |
| Patch Management Functions |
| Polling Functions |
| User Management Functions |
| Miscellaneous Functions |
| Policy Compliance Functions |
| Session Management Functions |

**[00169]** Table 11 sets forth Session Management Functions



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Table 11

| |
|---|
| OpenSession – Parameters: HOST name or IP address, LOGIN and PASSWORD for host |
| Returns: new SESSION<br>Description: This function opens a new session to the OnSite Server |
| CloseSession – Parameters: SESSION to close |
| Returns: None<br>Description: Closes a session that is no longer needed |
| IsSessionGood – Parameters: SESSION to test |
| Returns: TRUE or FALSE<br>Description: returns TRUE if the session is still valid FALSE if it is not |
| SUGetLastError – Parameters: None |
| Returns: Error code of last error in the thread<br>Description: Returns the error code of the last SDK error to occur in this thread |
| SUSetLastError – Parameters: ERROR code to set |
| Returns: None<br>Description: Sets the error code for the thread to be returned by SUGetLastError |
| GetSDKVersion – Parameters: None |
| Returns: a WORD containing the version of the SDK<br>Description: the MSB of the returned value is the major version number, the LSB is the minor version number |
| Ping – Parameters: SESSION to use, VALUE to ping with |
| Returns: VALUE on success 0 on failure<br>Description: attempts to pass VALUE to the OnSite Server, which should pass it back. |

**[00170]** Table 12 sets forth Group Management Functions.

Table 12



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| |
|---|
| CreateGroup – Parameters: Group NAME and Description |
| Returns: GROUP that was just created or 0 on failure<br>Description: This function creates a new group with the provided name and Description |
| GetGroups – Parameters: None |
| Returns: A LIST of GROUPs.<br>Description: This function Returns a list of all configured groups. |
| GetGroupsEx – Parameters: None |
| Returns: A LIST of GROUPINFO structures<br>Description: This function Returns a list of all configured groups' information |
| DeleteGroup – Parameters: GROUP to be deleted. |
| Returns: Success or failure<br>Description: This function permanently removes a group. |
| EditGroup – Parameters: GROUP to be edited, GROUPINFO to be applied |
| Returns: Success or failure<br>Description: This function changes a GROUP's information |
| GetGroupPolicyOSCategories – Parameters: GROUP to get information about |
| Returns: A LIST of OPERATINGSYSYTEMCATEGORYs that have group policies configured<br>Description: This function retrieves a list of operating system categories that have group policies configured |
| GetGroupPolicyOSSubCategories – Parameters: GROUP to get information about, OPERATINGSYSTEMCATEGORY to get sub category information about |
| Returns: A LIST of OPERATINGSYSTEMSUBCATEGORYs<br>Description: This function retrieves a list of operating system sub-categories of OPERATINGSYSTEMCATEGORY that have policies for the GROUP |
| GetGroupPolicyInfo – Parameters: GROUPPOLICY to get information about, GROUPPOLICYINFO pointer to receive the information |
| Returns: Success or Failure<br>Description: This function fills the passed GROUPPOLICYINFO structure with the information for the GROUPPOLICY |

| |
|---|
| GetGroupPolicyInfoByOSCat – Parameters: GROUP to get information about, OPERATINGSYSTEMCATEGORY to get the policy for, GROUPPOLICYINFO pointer to receive the information |
| Returns: Success or failure<br>Description: This function retrieves the information for a policy for the OPERATINGSYSTEMCATEGORY in the GROUP |
| GetGroupPolicyInfoByOSSubCat – Parameters: GROUP to get information about, OPERATINGSYSTEMSUBCATEGORY to get the policy for, GROUPPOLICYINFO pointer to receive the information |
| Returns: Success or failure<br>Description: This function retrieves the information for a policy for the OPERATINGSYSTEMSUBCATEGORY in the GROUP |
| DeleteGroupPolicy – Parameters: GROUPPOLICY to delete |
| Returns: Success or failure<br>Description: This function permanently deletes the GROUPPOLICY |
| EditGroupPolicy – Parameters: GROUPPOLICYINFO with new information |
| Returns: Success or failure<br>Description: This function updates the group policy (contained in GROUPPOLICYINFO) with the information in GROUPPOLICYINFO |
| AddGroupPolicy – Parameters: GROUP to add the policy to, GROUPPOLICYINFO containg the policy information |
| Returns: Success or Failure<br>Description: This function creates a new group policy and applies it to the GROUP |
| GetClientsInGroup – Parameters: GROUP to retrieve the clients from |
| Returns: LIST of CLIENTs belonging to the group<br>Description: This function retrieves a list of clients that are members of a specific group |
| GetClientsInGroupEx – Parameters: GROUP to retrieve the clients from |
| Returns: LIST of CLIENTINFOs for clients belonging to the group<br>Description: This function Returns a list of CLIENTINFO structures containing |



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| |
|---|
| information for the clients that belong to this group |
| AddClientToGroup – Parameters: CLIENT to add to a group, GROUP to add the client to. |
| Returns: Success or failure<br>Description: This function adds a client to a group |
| RemoveClientFromGroup – Parameters: CLIENT to remove from group, GROUP to remove the client from |
| Returns: Success or failure.<br>Description: This function removes a client from a group. |
| MoveClientToGroup – Parameters: CLIENT to move, GROUP to move client to |
| Returns: Success or Failure<br>Description: This function moves CLIENT to GROUP |
| GetUngroupedClients -- Parameters: None |
| Returns: LIST of ungrouped clients<br>Description: This function Returns a LIST of the clients that do not belong to any group |
| GetUngroupedClientsEx – Parameters: None |
| Returns: LIST of CLIENTINFO structures<br>Description: This function Returns a LIST of CLIENTINFO structures for the clients that do not belong to any group |
| GetGroupInfo – Parameters: GROUP to get information about, GROUPINFO pointer to receive the information |
| Returns: Success or failure<br>Description: This function retrieves the information for the GROUP |

**[00171]** Table 13 sets forth Client Management Functions.

Table 13

| |
|---|
| GetClientInstalledSoftware – Parameters: CLIENT to get information about |



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| |
|---|
| Returns: LIST of SOFTWARE installed on the client<br>Description: This function retrieves a list of the software that has been detected on the client |
| GetClientInstalledSoftwareEx – Parameters: CLIENT to get information about |
| Returns: LIST of SOFTWAREINFO for software installed on the client<br>Description: This function returns a LIST of SOFTWAREINFO structures describing the software detected on the client |
| GetClientInstalledPatches – Parameters: CLIENT to get information from. |
| Returns: LIST of PATCHes corresponding to the installed patches on the client<br>Description: This function retrieves a list of patches that were verified as installed on the last polling |
| GetClientInstalledPatchesEx – Parameters: CLIENT to get information from |
| Returns: LIST of PATCHINFO structures corresponding to the installed patches on the client<br>Description: This function retrieves a LIST of PATCHINFO structures for patches that were verified as installed on the last polling |
| GetClientPendingPatches – Parameters: CLIENT to get information from. |
| Returns: LIST of PATCHes corresponding to the pending patches for the client<br>Description: This function returns a list of patches that the client needs (according to group policy) as of the last polling. |
| GetClientPendingPatchesEx – Parameters: CLIENT to get information from |
| Returns: A LIST of PATCHINFO structures corresponding to the pending patches for the client<br>Description: This function returns a LIST of PATCHINFO structures for patches that the client needs (according to group policy) as of the last polling. |
| GetClientPendingServicePack – Parameters: CLIENT to get information from |
| Returns: SERVICEPACK if a service pack is pending or 0 if not<br>Description: This function returns a SERVICEPACK if there is a service pack pending for the client (according to group policy) as of the last polling. If there is no service pack pending it returns 0 |

| |
|---|
| GetClientPendingSoftware – Parameters: CLIENT to get information from |
| Returns: LIST of SOFTWARE that is pending<br>Description: This function returns a list of software that is pending for the client (according to group policy) as of the last polling |
| GetClientLogs - Parameters: CLIENT to get information from |
| Returns: LIST of LOGs for the client.<br>Description: This function returns a list of logs for a particular client. |
| GetClientLogsEx – Parameters: CLIENT to get information from |
| Returns: LIST of LOGINFO structures<br>Description: This function returns a list of LOGINFO structures containing log entries for a particular client. |
| DeleteClient – Parameters: CLIENT to delete. |
| Returns: Success or failure.<br>Description: This function removes all information pertaining to this client from the SysUpdate database. |
| GetClientOS – Parameters: CLIENT to get information from |
| Returns: OPERATINGSYSTEM installed on client<br>Description: This function returns the OPERATINGSYSTEM installed on the client |
| GetClientServicePack – Parameters: CLIENT to get information from |
| Returns: SERVICEPACK installed on client or 0<br>Description: This function returns the service pack installed on the client or 0 if the client does not have a service pack installed, or if service packs are not applicable to the client's platform |
| GetClientInfo – Parameters: CLIENT to get information from CLIENTINFO pointer to receive the information |
| Returns: Success or failure<br>Description: This function fills the passed CLIENTINFO structure with information pertaining to the passed CLIENT |
| GetClientFromIP – Parameters: IP address of client |
| Returns: CLIENT that corresponds to the passed IP address |



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| |
|---|
| Description: This function maps IP addresses to clients |

**[00172]** Table 14 sets forth Patch Management Functions.

Table 14

| |
|---|
| GetPatchInfo – Parameters: PATCH to get information about, PATCHINFO pointer to receive information |
| Returns: Success or failure<br>Description: This function fills the passed patch info structure with information about the passed patch |
| InstallPatchForClient – Parameters: CLIENT to install the patch on, PATCH to install |
| Returns: Success or failure<br>Description: This function deploys the patch to the client. Installation proceeds asynchronously |
| InstallPatchForGroup – Parameters: GROUP to install the patch on, PATCH to install |
| Returns: Success or failure<br>Description: This function deploys the patch to all clients in the group |
| InstallAllPendingForClient – Parameters: CLIENT to install patches on |
| Returns: Success or failure<br>Description: This function deploys all pending patches for a client to the client |
| InstallAllPendingForGroup – Parameters: GROUP to install patches on |
| Returns: Success or failure<br>Description: This function deploys all pending patches to all clients in a group |
| RejectPatchForClient – Parameters: CLIENT to reject patch for, PATCH to reject |
| Returns: Success or failure<br>Description: This function rejects a patch for a client. This patch will not be queued down or installed |
| RejectPatchForGroup – Parameters: GROUP to reject patch for, PATCH to reject |
| Returns: Success or failure |



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| |
|---|
| Description: This function rejects a patch for every client in a group. This patch will not be queued down or installed |
| RequeuePatchForClient – Parameters: CLIENT to requeue the patch for, PATCH to requeue |
| Returns: Success or failure<br>Description: This function requeues a previously rejected patch for a client |
| RequeuePatchForGroup – Parameters: GROUP to requeue the patch for, PATCH to requeue |
| Returns: Success or failure<br>Description: This function requeues a previously rejected patch for every client in a group |
| RemovePatchFromClient – Parameters: CLIENT to remove patch from, PATCH to remove |
| Returns: Success or failure<br>Description: This function will uninstall a patch from a client |
| RemovePatchFromGroup – Parameters: GROUP to remove patch from, PATCH to remove |
| Returns: Success or failure<br>Description: This function will uninstall a patch for every client in a group |
| InstallServicePackForClient – Parameters: CLIENT to install service pack on, SERVICEPACK to install on client |
| Returns: Success or failure<br>Description: This function will install a service pack on a client |
| InstallServicePackForGroup – Parameters: GROUP to install service pack on, SERVICEPACK to install |
| Returns: Success or failure<br>Description: This function will install a service pack on every client in a group |
| InstallSoftwareForClient – Parameters: CLIENT to install software update on, SOFTWARE to install |
| Returns: Success or failure<br>Description: This function will install a software update on a client |
| InstallSoftwareForGroup – Parameters: GROUP to install software update on, SOFTWARE to install |
| Returns: Success or failure |

| |
|---|
| Description: This function will install a software update on every client in a group. |
| GetCveIDsFromPatch – Parameters: PATCH to get CveIDs from |
| Returns: A LIST of CVEIDs<br>Description: This function returns a list of CVEIDs the correspond to the PATCH |

**[00173]** Table 15 sets forth Polling Functions.

Table 15

| |
|---|
| PollClient – Parameters: CLIENT to poll |
| Returns: Success or failure.<br>Description: This function causes a client to be polled by the OnSite Server immediately. |
| PollGroup – Parameters: GROUP to poll |
| Returns: Success or failure.<br>Description: This function causes all the clients in a particular group to be polled immediately. |
| PollAll – Parameters: NONE |
| Returns: Success or failure.<br>Description: This function causes all clients to be polled immediately. |

**[00174]** Table 16 sets forth User Management Functions.

Table 16

| |
|---|
| GetUsers – Parameters: None |
| Returns: A LIST of USERs<br>Description: This function returns a list of all users for the system |
| GetUserInfo – Parameters: USER to get information about, USERINFO pointer to receive the |



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| |
|---|
| information |
| Returns: Success or failure<br>Description: This function populates the passed USERINFO structure with information about the passed USER |
| GetUserGroupPrivileges – Parameters: USER to get information about |
| Returns: A LIST of USERGROUPPRIVILEGEs<br>Description: This function returns a LIST of USERGROUPPRIVILEGES representing the privileges that a particular user has |
| GetUserGroupPrivilegesEx – Parameters: USER to get information about |
| Returns: A LIST of USERGROUPPRIVILEGEINFO structures<br>Description: This function returns a LIST of USERGROUPPRIVILEGEINFO structures representing the privileges that a particular user has |
| GetUserGroupPrivilegeInfo – Parameters: USERGROUPPRIVILEGE to get information about, USERGROUPPRIVILEGEINFO pointer to receive information |
| Returns: Success or failure<br>Description: This function populates the passed USERGROUPPRIVILEGEINFO structure with the details of the particular privilege |
| GetUserGroupPrivilegeInfoByGroup – Parameters: USER to get information about, GROUP to get information for, USERGROUPPRIVILEGEINFO pointer to populate |
| Returns: Success or Failure<br>Description: This function populates the passed USERGROUPPRIVILEGEINFO structure with the detailed information regarding the permissions that the passed user has on the passed group |
| AddUserGroupPrivilege – Parameters: USERGROUPPRIVILEGEINFO structure to add |
| Returns: Success or failure<br>Description: This function adds a USERGROUPPRIVILEGE |
| EditUserGroupPrivilege – Parameters: USERGROUPPRIVILEGEINFO with new values |
| Returns: Success or failure<br>Description: This function edits the USERGROUPPRIVILEGEINFO structure passed in, assign it the new values |

| |
|---|
| DeleteUserGroupPrivilege – Parameters: USERGROUPPRIVILEGE to delete |
| Returns: Success or failure<br>Description: This function deletes the passed USERGROUPPRIVILEGE from the system |
| AddUser – Parameters: USERNAME, PASSWORD, and USERTYPE |
| Returns: USER representing the user that was just created<br>Description: This function creates a new user with the provided username, password, and type, and returns a USER representing the new user or 0 in the case of an error |
| DeleteUser – Parameters: USER to delete |
| Returns: Success or failure<br>Description: This function permanently deletes the USER from the system along with any privileges the user may have had |
| ChangeUserPassword – Parameters: USER to change password for, new PASSWORD |
| Returns: Success or failure<br>Description: This function changes the password for a user |
| ChangeUserRole – Parameters: USER to change role, ROLE to change to |
| Returns: Success or failure<br>Description: This Function changes a user's role |
| GetUserFromName – Parameters: USERNAME |
| Returns: USER corresponding to the passed user name<br>Description: This function provides a mapping from user names to USERs |

**[00175]** Table 17 sets forth Miscellaneous Functions.

Table 17

| |
|---|
| CreateList – Parameters: None |
| Returns: A new, empty, LIST<br>Description: This functions creates a new LIST that is initially empty |



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| |
|---|
| GetListItemEx – Parameters: LIST to retrieve item from, INDEX of item to retrieve, VOID pointer to receive item |
| Returns: Success or failure<br>Description: This function populates the memory pointed to by VOID with the contents of the LIST item at INDEX |
| GetListSize – Parameters: LIST to get the size of |
| Returns: the size of the LIST<br>Description: This function returns the number of elements currently in the list |
| AddItemToList – pointer to LIST to add the item to, LONG item to add |
| Returns: None<br>Description: This function adds an "item" (such as a GROUP or a CLIENT) to a LIST |
| AddClientInfoExToList – See AddItemToList |
| AddGroupInfoToList – See AddItemToList |
| AddPatchInfoExToList – See AddItemToList |
| AddSoftwareInfoToList – See AddItemToList |
| AddSoftwareCategoryInfoToList – See AddItemToList |
| AddUserGroupPrivilegeInfoExToList – See AddItemToList |
| RemoveItemFromList – Parameters: pointer to LIST to remove the item from, INDEX of item to remove |
| Returns: None<br>Description: This function removes the item at INDEX from the LIST |
| FreeList – LIST to deallocate |
| Returns: None<br>Description: This function deallocates the resources used by LIST |
| GetSoftwareInfo – Parameters: SOFTWARE to get information for, SOFTWAREINFO pointer to hold the information |
| Returns: Success or failure<br>Description: This function populates the SOFTWAREINFO structure pointed at with information regarding the SOFTWARE |
| GetLogInfo – Parameters: LOG to get information about, LOGINFO pointer to contain the |

| |
|---|
| information |
| Returns: Success or failure<br>Description: This function populates the LOGINFO structure pointed at with information regarding the LOG |
| GetSoftwareCategories – Parameters: None |
| Returns: A LIST of SOFTWARECATEGORYs<br>Description: This function returns a LIST of SOFTWARECATEGORYs |
| GetSoftwareCategoriesEx – Parameters: None |
| Returns: A LIST of SOFTWARECATEGORYINFO structures<br>Description: This function returns LIST of SOFTWARECATEGORYINFO structures for every software category known on the system |
| GetSoftwareCategoriesForOperatingSystemCategory – Parameters: an OPERATINGSYSTEMCATEGORY to get information for |
| Returns: A LIST of SOFTWARECATEGORYs<br>Description: This function returns a LIST of software categories for the passed operating system category. |
| GetSoftwareCategoriesForOperatingSystemCategoryEx – As above only, returning the appropriate “info” structures in the list |
| GetSoftwareCategoryInfo – Parameters: SOFTWARECATEGORY to get information for, SOFTWARECATEGORYIFNO pointer to contain the information<br>Returns: Success or failure |

**[00176]** Table 18 sets forth Policy Compliance Functions.

**[00177]** These functions are provided in a separate source tree (policy tree) for the Policy Compliance and Enforcement module. Function include: Password/system access policies, log configurations, audit settings, user/group privilege rights, general service settings, service permissions, registry values, registry permissions, file permissions. It can also perform deltas on and get information about: groups, users, services, and all the "Run" registry keys.

**[00178]** The function calls are being integrated into the live production tree and subject to change.

Table 18

| |
|---|
| GetPolicyItemInfo – As GetOperatingSystemInfo for POLICYITEM and POLICYITEMINFO |
| InstallPolicyItemForClient – As InstallPatchForClient for POLICYITEM |
| InstallPolicyItemForGroup – As InstallPatchForGroup for POLICYITEM |
| InstallAllPendingPolicyItemsForClient – As InstallAllPendingPatchesForClient for POLICYITEM |
| InstallAllPendingPolicyItemsForGroup – As InstallAllPendingPatchesForGroup for POLICYITEM |
| RemovePolicyItemFromClient – As RemovePatchForClient for POLICYITEM |
| RemovePolicyItemFromGroup – As RemovePatchFromGroup for POLICYITEM |

**[00179]** All publications, prior applications, and other documents cited herein are hereby incorporated by reference in their entirety as if each had been individually incorporated by reference and fully set forth.

**[00180]** While the invention has been illustrated and described in detail in the drawings and foregoing description, the same is to be considered as illustrative and not restrictive in character, it being understood that only the preferred embodiments have been shown and described and that all changes and modifications that would occur to one skilled in the relevant art are desired to be protected.



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# CLAIMS

What is claimed is:

1. An apparatus, comprising:

at least one data storage;

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

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

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

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

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

said at least one platform configured to:

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

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



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said at least one agent configured to identify information in connection with at least one of a plurality of devices for use in identifying an attack in connection with the at least one device that takes advantage of the at least one vulnerability;

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

2. The apparatus of Claim 1, wherein the apparatus is configured such that the at least one mitigation technique includes at least two mitigation techniques including a firewall option for preventing at least one attack packet of the attack by terminating or dropping the same, and an intrusion detection or prevention option; the apparatus is further configured such that, in response to user input received prior to the attack, the firewall option is capable of being applied to a plurality of different devices for preventing the at least one attack packet at any of the different devices; and the apparatus is further configured such that, in response to additional user input after the attack in connection with a particular single device of the plurality of different devices, the intrusion detection or prevention option is capable of being applied to the particular single device.

3. The apparatus of Claim 1, wherein the apparatus is configured such that the at least one mitigation technique includes at least two mitigation techniques including a firewall option for preventing at least one attack packet of the attack by terminating or dropping the same, and an intrusion detection or prevention option; the apparatus is further configured such that, in response to user input prior to the attack, the intrusion detection or prevention option is capable of being applied to a plurality of different devices at the plurality of different devices; and the apparatus is further configured such that, in response to user input after the attack in connection with a particular single device of the plurality of different devices, the firewall option is capable of being applied to the particular single device for preventing the at least one attack packet at the particular single device.

4. The apparatus of Claim 1, wherein the apparatus is configured such that the one or more of the plurality of mitigation techniques is capable of being identified based on the identification



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of the operating system in connection with the accessing for the displaying of the at least one mitigation technique, so that, in order to avoid false positives, relevant vulnerabilities prompt mitigation technique user selection among at least two of the mitigation techniques, which involve both firewall and intrusion prevention system actions, for providing diverse mitigation options in connection with the relevant vulnerabilities.

5. The apparatus of Claim 1, wherein the apparatus is configured such that the one or more of the plurality of mitigation techniques is capable of being identified based on the identification of the operating system prior to causing the display of the at least one mitigation technique, so that which of the one or more of the mitigation techniques that is caused to be displayed is based on one or more actual vulnerabilities to which the at least one device is actually vulnerable so that only relevant one or more mitigation techniques are displayed for selection by a user for attack mitigation.

6. The apparatus of Claim 1, wherein the apparatus is configured such that the user input is capable of being received via at least one user interface of the at least one platform for different devices, for allowing different attack mitigation actions including at least one intrusion prevention action and at least one firewall action to be selectively applied to the different devices for different actual vulnerabilities determined to be actually relevant based on the identification of the operating system in connection with the different devices.

7. The apparatus of Claim 1, wherein the apparatus is configured such that the at least one mitigation technique includes at least two mitigation techniques including a first mitigation technique that utilizes a firewall action and a second mitigation technique that utilizes an intrusion prevention action;

8. The apparatus of Claim 7, wherein the apparatus is configured such that different user input is capable of being received via the at least one platform for different devices, for allowing different mitigation techniques including the first mitigation technique and the second mitigation technique to be selectively applied by a user to the different devices for different actual vulnerabilities, such that the different user input is capable of resulting in: only the first



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

9. The apparatus of Claim 7, wherein the apparatus is configured such that the at least one mitigation technique further includes a third mitigation technique that utilizes a policy compliance action, wherein the apparatus is configured such that different user input is capable of being received via the at least one platform for different devices, for allowing different mitigation techniques including the first mitigation technique, the second mitigation technique, and the third mitigation technique to be selectively applied by a user to the different devices for different actual vulnerabilities, such that the different user input is capable of resulting in: only the first mitigation technique being selectively applied by the user to at least one first device; only the second mitigation technique being selectively applied by the user to at least one second device; and the first mitigation technique, the second mitigation technique, and the third mitigation technique being selectively applied by the user to at least one third device.

10. The apparatus of Claim 7, wherein the apparatus is configured such that the first mitigation technique is automatically applied utilizing a first communication from an integrated firewall/intrusion prevention system platform component of the at least one platform to firewall-supporting code of the at least one agent, and the second mitigation technique is automatically applied utilizing a second communication from the integrated firewall/intrusion prevention system platform component of the at least one platform to intrusion prevention system-supporting code of the at least one agent, where the firewall-supporting code and the system-supporting code are part of the at least one agent.

11. The apparatus of Claim 1, wherein the apparatus is configured such that the identification of the operating system is a result of a vulnerability assessment scan caused by the at least one platform.



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12. The apparatus of Claim 1, wherein the at least one platform includes intrusion prevention functionality for supporting a first mitigation technique and firewall functionality for supporting a second mitigation technique, such that the intrusion prevention functionality and the firewall functionality are both supported by the at least one agent that also supports the identification of the attack in connection with the at least one device, the at least one platform further capable of receiving actual vulnerability information to conditionally display, as a function of an existence of one or more actual vulnerabilities, one or more of the plurality of mitigation techniques to allow selective utilization of the intrusion prevention functionality and the firewall functionality, so that only relevant mitigation techniques are displayed for selection to reduce false positives in connection with both the intrusion prevention functionality and the firewall functionality.

13. The apparatus of Claim 1, wherein the at least one platform utilizes router-based functionality for supporting a first mitigation technique and firewall functionality for supporting a second mitigation technique.

14. The apparatus of Claim 13, wherein the apparatus is configured such that the system is capable of receiving actual vulnerability information to conditionally display, as a function of an existence of one or more actual vulnerabilities, one or more of the plurality of mitigation techniques to allow selective utilization of the router-based functionality and the firewall functionality, so that only relevant mitigation techniques are displayed for selection to reduce false positives in connection with both the router-based functionality and the firewall functionality.

15. The apparatus of Claim 1, 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;



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each mitigation technique has a mitigation type including the configuration option;
each mitigation technique is capable of mitigating the effect of the attack that takes advantage of the corresponding vulnerability, by dropping packets associated with the attack or removing the corresponding vulnerability;
said information is capable of being used to determine an intended destination of a connection request; or
said information includes a vulnerability identifier;
wherein the apparatus is operable for use with at least one 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 apparatus is operable for determining which devices have vulnerabilities by directly querying a firmware or operating system of the devices.

16. An apparatus, comprising:

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

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

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

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

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



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type and at least one second mitigation technique of a second mitigation type to the at least one device;

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

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

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

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

17. The apparatus of Claim 16, wherein the apparatus is configured such that the at least one first mitigation technique of the first mitigation type and the at least one second mitigation technique of the second mitigation type utilize different underlying security technology types that are both supported by at least one agent that is capable of identifying the attack and preventing the attack from taking advantage of the at least one vulnerability after the at least two mitigation techniques are automatically applied.

18. The apparatus of Claim 17, wherein the apparatus is configured such that the at least one agent is further capable of supporting a vulnerability assessment scan for the identification of the operating system.

19. The apparatus of Claim 16, wherein the apparatus is configured such that the first mitigation technique is automatically applied utilizing a first communication from the at least one platform to firewall-supporting code of at least one agent, and the second mitigation technique is automatically applied utilizing a second communication from the at least one platform to intrusion prevention system-supporting code of the at least one agent; wherein the at



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

20. An apparatus, comprising:

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

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

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

means for:



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

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

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

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



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# ABSTRACT

A system, method, and computer program product are provided for a database associating a plurality of device vulnerabilities to which computing devices can be subject with a plurality of remediation techniques that collectively remediate the plurality of device vulnerabilities. Each of the device vulnerabilities is associated with at least one remediation technique. Each remediation technique associated with a particular device vulnerability remediates that particular vulnerability. Further, each remediation technique has a remediation type are selected from the type group consisting of patch, policy setting, and configuration option. Still yet, a first one of the device vulnerabilities is associated with at least two alternative remediation techniques.



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# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | |
| **Filing Date:** | |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| UTILITY FILING FEE (ELECTRONIC FILING) | 4011 | 1 | 70 | 70 |
| UTILITY SEARCH FEE | 2111 | 1 | 300 | 300 |
| UTILITY EXAMINATION FEE | 2311 | 1 | 360 | 360 |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Post-Allowance-and-Post-Issuance:** | | | | |
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | **Total in USD ($)** | | **730** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 29348572 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 30-MAY-2017 |
| **Filing Date:** | |
| **Time Stamp:** | 22:56:42 |
| **Application Type:** | Utility under 35 USC 111(a) |

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| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $730 |
| RAM confirmation Number | 053117INTEFSW22571500 |
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## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Application Data Sheet | SP1P012D_ADS_vF_30-May-2017.pdf | 82767<br>ccafeba9b73d37a806dcd71f52959f7f3cd16f27 | no | 7 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| This is not an USPTO supplied ADS fillable form | | | | | |
| 2 | Oath or Declaration filed | SP1P012D_Decl-B_vF_30-May-2017.pdf | 161834<br>b0e154c5ecc847e93167704b472bfb3054d9ad90 | no | 1 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | Oath or Declaration filed | SP1P012D_Decl-O_vF_30-May-2017.pdf | 251207<br>234aa6667a7d0ddf23ed0b018e1b6cc5d64c0964 | no | 1 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 4 | Power of Attorney | SP1P012D_POA_vF_30-May-2017.pdf | 889866<br>4e14fbe2f2b8f6045270e87db539f72c4c019f62 | no | 1 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 5 | Drawings-only black and white line drawings | SP1P012D_Figs_vF_30-May-2017.pdf | 3168469<br>bf93383403211af73010ab3a85b9d41c9e6ec77a | no | 12 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 6 | | SP1P012D_App_vF_30-May-2017.pdf | 237844<br>ca03b51ab5158159ba1fe1186f93f9803e832ca9 | yes | 57 |

| | Multipart Description/PDF files in .zip description | | |
|---|---|---|---|
| | **Document Description** | **Start** | **End** |
| | Specification | 1 | 47 |
| | Claims | 48 | 56 |
| | Abstract | 57 | 57 |

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|---|---|---|---|---|---|
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 7 | Fee Worksheet (SB06) | fee-info.pdf | 34945<br>1bf78c579a2a5b6fea5502c13f0df372198cfc23 | no | 2 |
| **Warnings:** | | | | | |
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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.**

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | SP1P012D |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | |

The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76.
This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.

## Secrecy Order 37 CFR 5.2

☐ Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

## Inventor Information:

**Inventor 1** Remove

**Legal Name**

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|---|---|---|---|---|
| | Brett | M. | Oliphant | |

**Residence Information (Select One)** ◉ US Residency ○ Non US Residency ○ Active US Military Service

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**Mailing Address of Inventor:**

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| City | Woodville | State/Province | TX |
| Postal Code | 75979 | Country | US |

**Inventor 2** Remove

**Legal Name**

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|---|---|---|---|---|
| | John | P. | Blignaut | |

**Residence Information (Select One)** ◉ US Residency ○ Non US Residency ○ Active US Military Service

| City | West Lafayette | State/Province | IN | Country of Residence | US |
|---|---|---|---|---|---|

**Mailing Address of Inventor:**

| Address 1 | SecurityProfiling, LLC | | |
|---|---|---|---|
| Address 2 | 318 West Dogwood | | |
| City | Woodville | State/Province | TX |
| Postal Code | 75979 | Country | US |

All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the **Add** button. Add

## Correspondence Information:

**Enter either Customer Number or complete the Correspondence Information section below.**
**For further information see 37 CFR 1.33(a).**

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | SP1P012D |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | |

| ☐ An Address is being provided for the correspondence Information of this application. | | | |
|---|---|---|---|
| **Customer Number** | 92045 | | |
| **Email Address** | pcaldwell@thecaldwellfirm.com | Add Email | Remove Email |

## Application Information:

| **Title of the Invention** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | | |
|---|---|---|---|
| **Attorney Docket Number** | SP1P012D | **Small Entity Status Claimed** | ☒ |
| **Application Type** | Nonprovisional | | |
| **Subject Matter** | Utility | | |
| **Total Number of Drawing Sheets (if any)** | | **Suggested Figure for Publication (if any)** | |

## Filing By Reference :

Only complete this section when filing an application by reference under 35 U.S.C. 111(c) and 37 CFR 1.57(a). Do not complete this section if application papers including a specification and any drawings are being filed. Any domestic benefit or foreign priority information must be provided in the appropriate section(s) below (i.e., "Domestic Benefit/National Stage Information" and "Foreign Priority Information").

For the purposes of a filing date under 37 CFR 1.53(b), the description and any drawings of the present application are replaced by this reference to the previously filed application, subject to conditions and requirements of 37 CFR 1.57(a).

| Application number of the previously filed application | Filing date (YYYY-MM-DD) | Intellectual Property Authority or Country |
|---|---|---|
| | | |

## Publication Information:

☐ Request Early Publication (Fee required at time of Request 37 CFR 1.219)

☒ **Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

## Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32).
Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer Number will be used for the Representative Information during processing.

| Please Select One: | ◉ Customer Number | ○ US Patent Practitioner | ○ Limited Recognition (37 CFR 11.9) |
|---|---|---|---|
| Customer Number | 92045 | | |

| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | SP1P012D |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | |

## Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.
When referring to the current application, please leave the application number blank.

| Prior Application Status | Pending | | Remove |
|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) |
| | Continuation of | 14816931 | 2015-08-03 |

| Prior Application Status | Patented | | | | Remove |
|---|---|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) | Patent Number | Issue Date (YYYY-MM-DD) |
| 14816931 | Continuation of | 14499230 | 2014-09-28 | 9100431 | 2015-08-04 |

| Prior Application Status | Patented | | | | Remove |
|---|---|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) | Patent Number | Issue Date (YYYY-MM-DD) |
| 14499230 | Continuation in part of | 14138014 | 2013-12-21 | 9117069 | 2015-08-25 |

| Prior Application Status | Abandoned | | Remove |
|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) |
| 14138014 | Continuation of | 10882852 | 2004-07-01 |

| Prior Application Status | Expired | | Remove |
|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) |
| 10882852 | Claims benefit of provisional | 60484085 | 2003-07-01 |

Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the **Add** button.

## Foreign Priority Information:

This section allows for the applicant to claim priority to a foreign application. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(d). When priority is claimed to a foreign application that is eligible for retrieval under the priority document exchange program (PDX)[i] the information will be used by the Office to automatically attempt retrieval pursuant to 37 CFR 1.55(h)(1) and (2). Under the PDX program, applicant bears the ultimate responsibility for ensuring that a copy of the foreign application is received by the Office from the participating foreign intellectual property office, or a certified copy of the foreign priority application is filed, within the time period specified in 37 CFR 1.55(g)(1).

| | | | Remove |
|---|---|---|---|
| Application Number | Country[i] | Filing Date (YYYY-MM-DD) | Access Code[i] (if applicable) |
| | | | |

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | SP1P012D |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | |

## Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications

☐ This application (1) claims priority to or the benefit of an application filed before March 16, 2013 and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013.
NOTE: By providing this statement under 37 CFR 1.55 or 1.78, this application, with a filing date on or after March 16, 2013, will be examined under the first inventor to file provisions of the AIA.

## Authorization to Permit Access:

☐ Authorization to Permit Access to the Instant Application by the Participating Offices

If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the instant patent application is filed access to the instant patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the instant patent application is filed to have access to the instant patent application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the instant patent application with respect to: 1) the instant patent application-as-filed; 2) any foreign application to which the instant patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the instant patent application; and 3) any U.S. application-as-filed from which benefit is sought in the instant patent application.

In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date o f filing this Authorization.

## Applicant Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | SP1P012D |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | |

**Applicant 1**

If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.

Clear

| | | |
|---|---|---|
| ◉ Assignee | ○ Legal Representative under 35 U.S.C. 117 | ○ Joint Inventor |
| ○ Person to whom the inventor is obligated to assign. | ○ Person who shows sufficient proprietary interest | |

If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

Name of the Deceased or Legally Incapacitated Inventor :

If the Applicant is an Organization check here. ☒

| Organization Name | SecurityProfiling, LLC |
|---|---|

**Mailing Address Information For Applicant:**

| | | | |
|---|---|---|---|
| **Address 1** | 318 West Dogwood Street | | |
| Address 2 | | | |
| **City** | Woodville | **State/Province** | TX |
| **Country** | US | Postal Code | 75979 |
| Phone Number | | Fax Number | |
| Email Address | | | |

Additional Applicant Data may be generated within this form by selecting the Add button.

## Assignee Information including Non-Applicant Assignee Information:

Providing assignment information in this section does not subsitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

**Assignee 1**

Complete this section if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication . An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For an assignee-applicant, complete this section only if identification as an assignee is also desired on the patent application publication.

If the Assignee or Non-Applicant Assignee is an Organization check here. ☐

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| **Application Data Sheet 37 CFR 1.76** | Attorney Docket Number | SP1P012D |
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| | Application Number | |
| Title of Invention | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | |

| Prefix | **Given Name** | Middle Name | **Family Name** | Suffix |
|---|---|---|---|---|
| | | | | |

**Mailing Address Information For Assignee including Non-Applicant Assignee:**

| | | | |
|---|---|---|---|
| **Address 1** | | | |
| Address 2 | | | |
| **City** | | **State/Province** | |
| **Country** | | Postal Code | |
| Phone Number | | Fax Number | |
| Email Address | | | |

Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting the Add button.

## Signature:

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

| **Signature** | /Patrick Caldwell/ | | | Date (YYYY-MM-DD) | 2017-05-30 |
|---|---|---|---|---|---|
| First Name | Patrick | Last Name | Caldwell | Registration Number | 44580 |

Additional Signature may be generated within this form by selecting the Add button.

This collection of information is required by 37 CFR 1.76. 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 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

# Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent C o o p eration Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

# COMBINED DECLARATION (37 C.F.R. 1.63) AND ASSIGNMENT FOR UTILITY APPLICATION USING AN APPLICATION DATA SHEET (37 C.F.R. 1.76)

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

As the below named inventor, I hereby declare that:

This declaration is directed to the attached application, or (if following box is checked)
☐ United States application or PCT international application number _____, filed on _____.

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby state that I have reviewed and understand the contents of the above-identified application, including the claims.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, CFR § 1.56.

Whereas, I the undersigned inventor have invented certain new and useful improvements as set forth in the above-identified patent application and further identified by the Attorney Docket Number provided above in the header of this document.

For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I the undersigned inventor hereby:

1) Sell(s), assign(s) and transfer(s) to SecurityProfiling, LLC, a Texas limited liability company having a place of business at 1919 S Shiloh Rd. Garland, TX 75042, (hereinafter referred to as ("ASSIGNEE"), the entire right title and interest in any and all improvements and inventions disclosed in, application(s) based upon, and Patent(s) (including foreign patents) granted upon the information which is disclosed in the above referenced application.

2) Authorize and request the Commissioner of Patents to issue any and all Letters Patents resulting from said application or any division(s), continuation(s), substitutes(s) or reissue(s) thereof to the ASSIGNEE.

3) Agree to execute all papers and documents and, entirely at the ASSIGNEE's expense, perform any acts which are reasonably necessary in connection with the prosecution of said application, as well as any derivative and applications thereof, foreign applications based thereon, and/or the enforcement of patents resulting from such applications.

4) Agree that the terms, covenants and conditions of this assignment shall inure to the benefit of the Assignee, its successors, assigns and other legal representative, and shall be binding upon the inventor(s), as well as the inventor's heirs, legal representatives and assigns.

5) Warrant and represent that I have not entered, and will not enter into any assignment, contract, or understanding that conflicts with this assignment.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

Signed on the date indicated beside my signature.

Legal Name of Inventor: John P. Blignaut

Signature: _____ Date: 9.24.14



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EX-1002
Page 083

PTO/AIA/01 (06-12)
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# DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

| Title of Invention | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
|---|---|

As the below named inventor, I hereby declare that:

This declaration is directed to:

- [■] The attached application, or
- [ ] United States application or PCT international application number _____

  filed on _____.

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

## WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

LEGAL NAME OF INVENTOR

Inventor: Brett M. Oliphant Date (Optional): _____

Signature: _____

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. 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 1 minute 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.*

# SCORE Placeholder Sheet for IFW Content

Application Number: 15608981 Document Date: 05/30/2017

The presence of this form in the IFW record indicates that the following document type was received in electronic format on the date identified above. This content is stored in the SCORE database.

- Drawings – Other than Black and White Line Drawings

Since this was an electronic submission, there is no physical artifact folder, no artifact folder is recorded in PALM, and no paper documents or physical media exist. The TIFF images in the IFW record were created from the original documents that are stored in SCORE.

To access the documents in the SCORE database, refer to instructions below.

At the time of document entry (noted above):

- Examiners may access SCORE content via the eDAN interface.
- Other USPTO employees can bookmark the current SCORE URL (http://Score.uspto.gov/ScoreAccessWeb/).
- External customers may access SCORE content via the Public and Private PAIR interfaces.

Form Revision Date: September 30, 2013

UNITED STATES PATENT AND TRADEMARK OFFICE

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

| APPLICATION NUMBER | FILING or 371(c) DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET.NO | TOT CLAIMS | IND CLAIMS |
|---|---|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | 2431 | 730 | SP1P012D | 20 | 3 |

**CONFIRMATION NO. 9076**

92045
The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

**FILING RECEIPT**

OC000000091911768

Date Mailed: 06/09/2017

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

**Inventor(s)**

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

**Applicant(s)**

SecurityProfiling, LLC, Woodville, TX;

**Power of Attorney:** The patent practitioners associated with Customer Number 92045

**Domestic Priority data as claimed by applicant**

This application is a CON of 14/816,931 08/03/2015
which is a CON of 14/499,230 09/28/2014 PAT 9100431
which is a CIP of 14/138,014 12/21/2013 PAT 9117069
which is a CON of 10/882,852 07/01/2004 ABN
which claims benefit of 60/484,085 07/01/2003

**Foreign Applications** for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see http://www.uspto.gov for more information.) - None.
*Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.*

**Permission to Access Application via Priority Document Exchange:** No

**Permission to Access Search Results:** No

Applicant may provide or rescind an authorization for access using Form PTO/SB/39 or Form PTO/SB/69 as appropriate.

**If Required, Foreign Filing License Granted:** 06/07/2017

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 15/608,981**

**Projected Publication Date:** Request for Non-Publication Acknowledged

**Non-Publication Request:** Yes

**Early Publication Request:** No
**** SMALL ENTITY ****
**Title**

COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION

**Preliminary Class**

726

**Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications:** No

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at http://www.uspto.gov/web/offices/pac/doc/general/index.html.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, http://www.stopfakes.gov. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4258).



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## LICENSE FOR FOREIGN FILING UNDER

## Title 35, United States Code, Section 184

## Title 37, Code of Federal Regulations, 5.11 & 5.15

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign AssetsControl, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The U.S. offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to promote and facilitate business investment. SelectUSA provides information assistance to the international investor community; serves as an ombudsman for existing and potential investors; advocates on behalf of U.S. cities, states, and regions competing for global investment; and counsels U.S. economic development organizations on investment attraction best practices. To learn more about why the United States is the best country in the world to develop technology, manufacture products, deliver services, and grow your business, visit http://www.SelectUSA.gov or call +1-202-482-6800.

## PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number: 15/608,981

### APPLICATION AS FILED - PART I

| FOR | (Column 1) NUMBER FILED | (Column 2) NUMBER EXTRA | SMALL ENTITY RATE($) | SMALL ENTITY FEE($) | OR | OTHER THAN SMALL ENTITY RATE($) | OTHER THAN SMALL ENTITY FEE($) |
|---|---|---|---|---|---|---|---|
| BASIC FEE (37 CFR 1.16(a), (b), or (c)) | N/A | N/A | N/A | 70 | | N/A | |
| SEARCH FEE (37 CFR 1.16(k), (i), or (m)) | N/A | N/A | N/A | 300 | | N/A | |
| EXAMINATION FEE (37 CFR 1.16(o), (p), or (q)) | N/A | N/A | N/A | 360 | | N/A | |
| TOTAL CLAIMS (37 CFR 1.16(i)) | 20 minus 20 = | * | x 40 = | 0.00 | OR | | |
| INDEPENDENT CLAIMS (37 CFR 1.16(h)) | 3 minus 3 = | * | x 210 = | 0.00 | | | |
| APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | 0.00 | | | |
| MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | 0.00 | | | |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | TOTAL | 730 | | TOTAL | |

### APPLICATION AS AMENDED - PART II

| | | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | SMALL ENTITY RATE($) | SMALL ENTITY ADDITIONAL FEE($) | OR | OTHER THAN SMALL ENTITY RATE($) | OTHER THAN SMALL ENTITY ADDITIONAL FEE($) |
|---|---|---|---|---|---|---|---|---|---|---|
| AMENDMENT A | Total (37 CFR 1.16(i)) | * | Minus | ** | = | x = | | OR | x = | |
| | Independent (37 CFR 1.16(h)) | * | Minus | *** | = | x = | | OR | x = | |
| | Application Size Fee (37 CFR 1.16(s)) | | | | | | | | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | OR | | |
| | | | | | | TOTAL ADD'L FEE | | OR | TOTAL ADD'L FEE | |

| | | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | RATE($) | ADDITIONAL FEE($) | OR | RATE($) | ADDITIONAL FEE($) |
|---|---|---|---|---|---|---|---|---|---|---|
| AMENDMENT B | Total (37 CFR 1.16(i)) | * | Minus | ** | = | x = | | OR | x = | |
| | Independent (37 CFR 1.16(h)) | * | Minus | *** | = | x = | | OR | x = | |
| | Application Size Fee (37 CFR 1.16(s)) | | | | | | | | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | OR | | |
| | | | | | | TOTAL ADD'L FEE | | OR | TOTAL ADD'L FEE | |

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: Apr 13, 2018 |

**PRELIMINARY AMENDMENT**

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

Examiner:

Prior to substantive examination of the above patent application, please enter the following amendments.



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**Amendments to the Claims:**

1-.20. (Cancelled)

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

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

at least one first potential vulnerability, and

at least one second potential vulnerability;

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

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

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

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

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

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

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

22. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is capable of being applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is capable of being applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality.

23. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is capable of being applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is capable of being applied to the particular single device.

24. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only

relevant vulnerabilities prompt user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith.

25. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user.

26. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability.

27. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that different user input is capable of being received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input is capable of resulting in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user-selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence.

28. (New) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the first occurrence

mitigation action of the firewall-based occurrence mitigation type being supplemented by the second occurrence mitigation action of the other occurrence mitigation type at the first device.

29. (New) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device.

30. (New) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence mitigation type.

31. (New) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device.

32. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other

occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action.

33. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options.

34. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

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

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

35. (New) The non-transitory computer-readable media of Claim 34, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality.

36. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are capable of being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences.

37. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

38. (New) The non-transitory computer-readable media of Claim 21, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence packet to determine whether a first actual



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vulnerability of the first device identified by the actual vulnerability information is capable of being taken advantage of by the at least one first occurrence packet, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the actual vulnerability information is capable of being taken advantage of by the at least one second occurrence packet; and the causing the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device.

39. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is permitted, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is permitted.

40. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence.

41. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively permitted at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence.

42. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that one or more options are provided to a user so that the user is capable of selecting each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability.

43. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

44. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

receive a first user input;

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

receive a second user input; and

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

45. (New) The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type.

46. (New) The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type.

47. (New) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that at least one of:

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

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

said at least one platform includes at least one processor;

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

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

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



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

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

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

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

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

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

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

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

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

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

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

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

said actual vulnerabilities include the at least one actual vulnerability;

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

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

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

said different occurrence mitigation actions include different remediation actions;

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

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

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

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

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

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

said automatic response includes a real-time response.



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**Remarks:**

The claims have been clarified. It should be noted that no claims are intended to be construed under 35 U.S.C. 112, paragraph 6.

Applicant the appropriate fees for the request for continued examination and the newly added claims. Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-4964 (Order No. SP1P012D).

Should the Examiner deem that any further amendment is desirable to place this Application in condition for allowance, Applicant invites the Examiner to telephone the undersigned attorney at the number listed below.

Respectfully submitted,



Dated: 13 Apr 2018

Patrick E. Caldwell, Esq.
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# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| **Pages:** | | | | |
| **Claims:** | | | | |
| CLAIMS IN EXCESS OF 20 | 2202 | 7 | 50 | 350 |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | | **Total in USD ($)** | **350** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 32341071 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 13-APR-2018 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 22:09:27 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

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| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $350 |
| RAM confirmation Number | 041618INTEFSW22114900 |
| 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 | Preliminary Amendment | SP1P012D_Prelim_Amndt_vF_13-Apr-2018.pdf | 97347<br>0429388aeea301aee2bc1c19807b0aa17a41f914 | no | 14 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Fee Worksheet (SB06) | fee-info.pdf | 30464<br>d7ecdce8eb0aaa363a5fc2a277b44690050a0b09 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 127811 | | |

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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.**

PTO/SB/06 (09-11)
Approved for use through 1/31/2014. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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| PATENT APPLICATION FEE DETERMINATION RECORD<br>Substitute for Form PTO-875 | Application or Docket Number<br>15/608,981 | Filing Date<br>05/30/2017 | ☐ To be Mailed |
|---|---|---|---|

**ENTITY**: ☐ LARGE ☒ SMALL ☐ MICRO

## APPLICATION AS FILED – PART I

| FOR | (Column 1) NUMBER FILED | (Column 2) NUMBER EXTRA | RATE ($) | FEE ($) |
|---|---|---|---|---|
| ☐ BASIC FEE (37 CFR 1.16(a), (b), or (c)) | N/A | N/A | N/A | |
| ☐ SEARCH FEE (37 CFR 1.16(k), (i), or (m)) | N/A | N/A | N/A | |
| ☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q)) | N/A | N/A | N/A | |
| TOTAL CLAIMS (37 CFR 1.16(i)) | minus 20 = | * | X $ = | |
| INDEPENDENT CLAIMS (37 CFR 1.16(h)) | minus 3 = | * | X $ = | |
| ☐ APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | |
| ☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | TOTAL | |

## APPLICATION AS AMENDED – PART II

| AMENDMENT | 04/13/2018 | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | RATE ($) | ADDITIONAL FEE ($) |
|---|---|---|---|---|---|---|---|
| | Total (37 CFR 1.16(i)) | * 27 | Minus | ** 20 | = 7 | X $50 = | 350 |
| | Independent (37 CFR 1.16(h)) | * 1 | Minus | ***3 | = 0 | X $230 = | 0 |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | |
| | | | | | | TOTAL ADD'L FEE | **350** |

| AMENDMENT | | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | RATE ($) | ADDITIONAL FEE ($) |
|---|---|---|---|---|---|---|---|
| | Total (37 CFR 1.16(i)) | * | Minus | ** | = | X $ = | |
| | Independent (37 CFR 1.16(h)) | * | Minus | *** | = | X $ = | |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | |
| | | | | | | TOTAL ADD'L FEE | |

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".
The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

SLIE
VIKKI GRAY

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**
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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

92045 7590 06/20/2018

The Caldwell Firm, LLC
PO Box 59655
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Dallas, TEXAS 75229
UNITED STATES OF AMERICA

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 2438 | |

| NOTIFICATION DATE | DELIVERY MODE |
|---|---|
| 06/20/2018 | ELECTRONIC |

**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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

eofficeaction@appcoll.com
pcaldwell@thecaldwellfirm.com

| *Office Action Summary* | **Application No.** 15/608,981 | **Applicant(s)** Oliphant et al. | |
|---|---|---|---|
| | **Examiner** MADHURI R HERZOG | **Art Unit** 2438 | **AIA Status** No |

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

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☑ Responsive to communication(s) filed on 04/13/2018.

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

2a)☐ This action is **FINAL.** 2b) ☑ This action is non-final.

3)☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

4)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims***

5) ☑ Claim(s) 21-47 is/are pending in the application.

5a) Of the above claim(s) _____ is/are withdrawn from consideration.

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 21-47 is/are rejected.

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

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

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to **PPHfeedback@uspto.gov.**

**Application Papers**

10)☐ The specification is objected to by the Examiner.

11)☑ The drawing(s) filed on 05/30/2017 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**

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

**Certified copies:**

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

**Attachment(s)**

1) ☑ Notice of References Cited (PTO-892)

2) ☐ Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b) Paper No(s)/Mail Date _____.

3) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date _____.

4) ☐ Other: _____.

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

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

2. Claims 1-20 have been cancelled.

3. Claims 21-47 have been examined.

### *Priority*

4. Acknowledgement is made of the applicant's claim to priority as a continuation of parent application 14/816931.

### *Double Patenting*

5. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*,

686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on nonstatutory double patenting provided the reference application or patent either is shown to be commonly owned with the examined application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement. See MPEP § 717.02 for applications subject to examination under the first inventor to file provisions of the AIA as explained in MPEP § 2159. See MPEP §§ 706.02(l)(1) - 706.02(l)(3) for applications not subject to examination under the first inventor to file provisions of the AIA. A terminal disclaimer must be signed in compliance with 37 CFR 1.321(b).

The USPTO Internet website contains terminal disclaimer forms which may be used. Please visit www.uspto.gov/patent/patents-forms. The filing date of the application in which the form is filed determines what form (e.g., PTO/SB/25, PTO/SB/26, PTO/AIA/25, or PTO/AIA/26) should be used. A web-based eTerminal Disclaimer may be filled out completely online using web-screens. An eTerminal Disclaimer that meets all requirements is auto-processed and approved immediately upon submission. For more information about eTerminal Disclaimers, refer to www.uspto.gov/patents/process/file/efs/guidance/eTD-info-I.jsp.

6. Claims 21-47 are rejected on the ground of nonstatutory double patenting as being unpatentable over claims 1-20 of U.S. Patent No. 8984644, claims 1-21 of U.S. Patent No. 9225686, claims 1-154 of U.S. Patent No. 9117069 and claims 1-20 of U.S.

Patent No. 9118711. Although the claims at issue are not identical, they are not patentably distinct from each other because:

Claim 21 of the instant application: 21. (New) A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to: receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability; said actual vulnerability information generated utilizing the potential vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities; identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the actual vulnerability information; and permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse

occurrence mitigation types across the plurality of devices; wherein the at least one configuration involves at least one operating system.

Is analogous to:

Claim 1 of U.S. Patent No. 8984644: 1. A computer program product embodied on a non-transitory computer readable medium, comprising: code for receiving actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability; said actual vulnerability information generated utilizing the potential vulnerability information, in response to code execution by at least one processor, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities; code for identifying an occurrence in connection with at least one of the plurality of devices; code for determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the actual vulnerability information; and code for providing a user with one or more options to selectively utilize different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and an intrusion prevention system-based occurrence mitigation type, across the plurality of

devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices.

Similarly, the rest of the dependent and independent claims of the instant application are analogous to the rest of the dependent and independent claims of U.S. Patent No. 8984644.

7. Also, claims 21-47 of the instant application are analogous to:

(i) Claims 1-21 of U.S. Patent No. 9225686.

(ii) Claims 1-154 of U.S. Patent No. 9117069.

(iii) Claims 1-20 of U.S. Patent No. 9118711.

8. Claims 21-47 are provisionally rejected on the ground of nonstatutory double patenting as being unpatentable over claims 60-81 of copending Application No. 14/816931 in view of US 7257630 to Cole et al. Claim 21 of the instant application is analogous to claim 60 of 14/816931: An apparatus, comprising: at least one data storage; at least one platform communicatively coupled to the at least one data storage; and at least one agent capable of being communicatively coupled to the at least one platform; said at least one data storage configured to store data on a plurality of mitigation techniques that mitigate effects of attacks that take advantage of vulnerabilities, where: each mitigation technique is capable of mitigating an effect of an attack that takes advantage of a corresponding vulnerability, and each mitigation technique has a mitigation type including at least one of a patch, a policy setting, or a

configuration option; said at least one platform configured to: cause display of at least one mitigation technique for mitigating an effect of at least one attack that takes advantage of at least one vulnerability, and allow receipt of user input for selecting the at least one mitigation technique to be applied for mitigating the effect of the at least one attack that takes advantage of the at least one vulnerability; said at least one agent configured to identify information in connection with at least one of a plurality of devices for use in identifying an attack in connection with the at least one device that takes advantage of the at least one vulnerability, so that the at least one mitigation technique is capable of being applied; said apparatus configured such that one or more of the plurality of mitigation techniques is capable of being identified based on an identification of an operating system.

Claim 60 of 14/816931 does not teach the limitations: “receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability; said actual vulnerability information generated utilizing the potential vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities; wherein the at least one configuration involves at least one operating system”. However, Cole teaches:

receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability **(Cole: column 17, lines 25-67: As described in more detail below, in the vulnerability assessment routine 364, the method executes vulnerability scripts that apply known vulnerabilities to open ports of the live target computers to determine whether the ports of the target computers exhibit the potential vulnerabilities. The method uses information stored in a known vulnerability database 366 to select the vulnerability scripts to executes for each active port. Information collected from vulnerable target computers is advantageously stored to the target computer database 344)**;

said actual vulnerability information generated utilizing the potential vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device **(Cole: column 16, lines 39-67: the method proceeds to an operating system (OS) identification routine 350 wherein the method determines the type and version of operating system present on each of the live computers having open ports)**, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities **(Cole: column 17, lines 25-67: In one embodiment, the vulnerability assessment routine 364 preferably only performs vulnerability checks associated**

**with the identified operating system and open ports of the target computer as determined by the operating system identification routine 350 and service discovery routine 340. the active assessment routine 365 uses information collected from target computers in the vulnerability assessment routine 364 to execute further vulnerability scripts to open ports of the live target computers. Specifically, the active assessment routine 365 reuses known vulnerabilities and information collected from target computers to continue to determine whether the ports of the target computers exhibit potential vulnerabilities, using information from the known vulnerability database 366 and information collected in the target computer database 344. Also, column 41, lines 7-30)**;

wherein the at least one configuration involves at least one operating system **(Cole: column 16, lines 39-67: the method proceeds to an operating system (OS) identification routine 350 wherein the method determines the type and version of operating system present on each of the live computers having open ports)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Cole in the invention of 14/816931 to include receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability; said actual vulnerability information generated utilizing the potential vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities. The motivation to do so would be to provide a comprehensive network vulnerability testing and reporting method and system (Cole: column 2, lines 21-25).

This is a provisional nonstatutory double patenting rejection.

***Claim Rejections - 35 USC § 112***

9. The following is a quotation of the first paragraph of 35 U.S.C. 112(a):

> (a) IN GENERAL.—The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same, and shall set forth the best mode contemplated by the inventor or joint inventor of carrying out the invention.

The following is a quotation of the first paragraph of pre-AIA 35 U.S.C. 112:

> The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same, and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claim 21 is rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor or a joint inventor, or for pre-AIA the inventor(s), at the time the application was filed, had possession of the claimed invention. Claim 21 recites the limitations: “receive actual vulnerability information from at least one first data storage that is generated utilizing potential

vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability; said actual vulnerability information generated utilizing the potential vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities". The examiner has not found support in the specification of the instant application or the specifications of any of the parent applications for these limitations. More specifically, the examiner has not found support describing the procedure to determine actual vulnerabilities of a device based on device configuration and potential vulnerability information.

10. The following is a quotation of 35 U.S.C. 112(b):
(b) CONCLUSION.—The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the inventor or a joint inventor regards as the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), second paragraph:
The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

11. Claims 22, 23, 27-31, 36, 38, 42 and 47 are rejected under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention. Claim 22 recites the limitations: "the firewall-type option is capable of being applied…", "the other option is capable of being

applied...". The phrase "capable" makes it unclear whether the firewall-type option and the other option are actually being applied or not. Similarly, the use of the phrase "capable" in the limitations of claims 23, 27-31, 36, 38, 42 and 47 also makes the actual implementation of the functions recited in the limitations unclear.

***Claim Rejections - 35 USC § 103***

12. The following is a quotation of pre-AIA 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

13. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under pre-AIA 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.

2. Ascertaining the differences between the prior art and the claims at issue.

3. Resolving the level of ordinary skill in the pertinent art.

4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

14. This application currently names joint inventors. In considering patentability of the claims under pre-AIA 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation

under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of pre-AIA 35 U.S.C. 103(c) and potential pre-AIA 35 U.S.C. 102(e), (f) or (g) prior art under pre-AIA 35 U.S.C. 103(a).

15. Claims 21-47 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over US 7257630 to Cole et al (hereinafter Cole), US 20050193430 to Cohen et al (hereinafter Cohen) and US 20060101517 to Banzhof et al (hereinafter Banzhof).

**As per claim 21**, Cole teaches:

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

receive actual vulnerability information from at least one first data storage that is generated utilizing potential vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability **(Cole: column 17, lines 25-67: As described in more detail below, in the vulnerability assessment routine 364, the method executes vulnerability scripts that apply known vulnerabilities to open ports of the live target computers to determine whether the ports of the target computers exhibit the potential vulnerabilities. The method uses information stored in a known vulnerability database 366 to select the vulnerability scripts to executes for each active port. Information collected from vulnerable target computers is advantageously stored to the target computer database 344)**;

said actual vulnerability information generated utilizing the potential vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device **(Cole: column 16, lines 39-67: the method proceeds to an operating system (OS) identification routine 350 wherein the method determines the type and version of operating system present on each of the live computers having open ports)**, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the potential vulnerability information that is used to identify the plurality of potential vulnerabilities **(Cole: column 17, lines 25-67: In one embodiment, the vulnerability assessment routine 364 preferably only performs vulnerability checks associated with the identified operating system and open ports of the target computer as determined by the operating system identification routine 350 and service discovery routine 340. the active assessment routine 365 uses information collected from target computers in the vulnerability assessment routine 364 to execute further vulnerability scripts to open ports of the live target computers. Specifically, the active assessment routine 365 reuses known vulnerabilities and information collected from target computers to continue to determine whether the ports of the target computers exhibit potential vulnerabilities, using information from the known vulnerability database 366 and information collected in the target computer database 344. Also, column 41, lines 7-30)**;

wherein the at least one configuration involves at least one operating system **(Cole: column 16, lines 39-67: the method proceeds to an operating system (OS)**

**identification routine 350 wherein the method determines the type and version of operating system present on each of the live computers having open ports)**.

Cole does not teach: identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the actual vulnerability information; and permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices. However, Cohen teaches:

identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the actual vulnerability information **(Cohen: [0067]: FIG. 3 is a flow diagram showing a method of verifying actual vulnerabilities in a computer network in accordance with one embodiment of the present invention. To find raw vulnerabilities which could be exploited, the information discovery agents scan the network from the perspective of an attacker by starting attacks, but stopping before too much damage is done. Packets of data are sent to each network device and any responses received back from the network devices are interpreted to determine**

**whether a raw vulnerability exists. The information discovery agent would send packets containing a query command for the BIND server on a network to return its version number. If the BIND server returns a version number which is known to be vulnerable to attacks, the information discovery agent would report the raw vulnerability. [0071]: As such, in some embodiments, the logic can specify pre-conditions for exploitation of vulnerabilities)**;

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Cohen in the invention of Cole to include identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the actual vulnerability information. The motivation to do so would be to conduct security assessments automatically in a computer network (Cohen: [0010]).

However, Banzhof teaches:

permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack**

**is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole to include permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices. The motivation to do so would be to provide a computer vulnerability resolution system which utilizes inventory management processes to enhance remediation of vulnerable computer systems forming part of a computer network being remediated by the computer vulnerability resolution system (Banzhof: [0004]).

**As per claim 22**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is capable of being applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is capable of being applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific**

**identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055])**.

**As per claim 23**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is capable of being applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is capable of being applied to the particular single device **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to**

**use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055])**.

**As per claim 24**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only relevant vulnerabilities prompt user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith **(Cole: column 17, lines 25-67: In one embodiment, the vulnerability assessment routine 364 preferably only performs vulnerability checks associated with the identified operating system and open ports of the target computer as determined by the operating system identification routine 350 and service discovery routine 340. Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices)**.

**As per claim 25**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices)**.

**As per claim 26**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability **(Cole: column 17, lines 25-67: In one embodiment, the vulnerability assessment routine 364 preferably only performs vulnerability checks associated with the identified operating system and open ports of the target computer as determined by the operating system identification routine 350 and service discovery routine 340. Banzhof: [0041]: using the central action pack module 28, a vulnerability**

**resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices)**.

**As per claim 27**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that different user input is capable of being received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input is capable of resulting in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the**

**foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055], [0100], [0107]-[0115])**.

**As per claim 28**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being supplemented by the second occurrence mitigation action of the other occurrence mitigation type at the first device **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may**

**instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055], [0100], [0107]-[0115])**.

**As per claim 29**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device **(Banzhof: [0096]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the target computer system, or because the remediation actions had unintended deleterious effects, etc., the process 60 will proceed on to steps 102 and 104 where the remediation can be rolled back or undone)**.

**As per claim 30**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for causing completion of the different occurrence

mitigation actions, in a manner that the additional user input is capable of resulting in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence mitigation type **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055], [0100], [0107]-[0115])**.

**As per claim 31**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is capable of being received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of resulting in: the first occurrence mitigation action of the firewall-based

occurrence mitigation type being rolled back at the third device **(Banzhof: [0096]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the target computer system, or because the remediation actions had unintended deleterious effects, etc., the process 60 will proceed on to steps 102 and 104 where the remediation can be rolled back or undone)**.

**As per claim 32**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action **(Banzhof: [0048]: As disclosed herein, the remediation signatures include the following types of remediation actions: service management, registry management, security permissions management, account management, policy management, audit management, file management, process management, as well as service pack, hot fix and patch installation. [0050]: A remediation signature may, therefore, include a link to a vendor website where a patch or update is available for download. Similarly, an action to be undertaken as part of a**

**remediation of a vulnerability of a computer system may include the download of the patch or update identified in a remediation signature)**.

**As per claim 33**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options **(Banzhof: [0050]: A remediation signature may, therefore, include a link to a vendor website where a patch or update is available for download. Similarly, an action to be undertaken as part of a remediation of a vulnerability of a computer system may include the download of the patch or update identified in a remediation signature. [0050]: A remediation signature may, therefore, include a link to a vendor website where a patch or update is available for download. Similarly, an action to be undertaken as part of a remediation of a vulnerability of a computer system may include the download of the patch or update identified in a remediation signature. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable**

**computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained)**.

**As per claim 34**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more**

**devices. [0050]: A remediation signature may, therefore, include a link to a vendor website where a patch or update is available for download. Similarly, an action to be undertaken as part of a remediation of a vulnerability of a computer system may include the download of the patch or update identified in a remediation signature. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained)**.

**As per claim 35**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 34, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality **(Banzhof: [0050]: A remediation signature may, therefore, include a link to a vendor website where a patch or update is available for download. Similarly, an action to be undertaken as part of**

**a remediation of a vulnerability of a computer system may include the download of the patch or update identified in a remediation signature. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained)**.

**As per claim 36**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are capable of being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences **(Banzhof: [0057] Once uploaded to the VFLASH server 20 by the central remediation server 12, a client remediation server such as the client remediation server 22 can download the action packs and/or the vulnerability/remediation entries from the VFLASH server 20. In this embodiment, a download is initiated, from the client administration console 25 by the network security administrator)**.

**As per claim 37**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: based on user input, automatically block the occurrence, to prevent an attack from taking advantage of the at least one actual vulnerability while there is no installation of a patch that removes the at least one actual vulnerability **(Banzhof: [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained)**.

**As per claim 38**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first

occurrence packet to determine whether a first actual vulnerability of the first device identified by the actual vulnerability information is capable of being taken advantage of by the at least one first occurrence packet, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the actual vulnerability information is capable of being taken advantage of by the at least one second occurrence packet **(Cohen: [0055]: For example, attack simulation may expose or discover a potential attack, but the number of steps or level of technical sophistication required to execute the potential attack are so great that the actual risk of the potential attack taking place is extremely small. [0056] The probability of an attack taking place is combined with the consequences data to rank the vulnerabilities according to actual risks presented and present fixes for the vulnerabilities, step 140. In some embodiments, the system also ranks the risk level of threats and attacks, as well as the risks of business applications and IT infrastructure. In some embodiments, risk takes into account the degree or magnitude of potential damage from a particular attack as well as a probability of such an attack. Vulnerabilities with high consequences data and a high probability of being executed will rank higher in terms than vulnerabilities with lower consequences data and lower probability of being executed. [0067]: FIG. 3 is a flow diagram showing a method of verifying actual vulnerabilities in a computer network in accordance with one embodiment of the present invention. To find raw vulnerabilities which could be exploited, the information discovery agents scan the network from the perspective of an**

**attacker by starting attacks, but stopping before too much damage is done. Packets of data are sent to each network device and any responses received back from the network devices are interpreted to determine whether a raw vulnerability exists. The information discovery agent would send packets containing a query command for the BIND server on a network to return its version number. If the BIND server returns a version number which is known to be vulnerable to attacks, the information discovery agent would report the raw vulnerability)**; and the causing the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer**

**systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055])**.

**As per claim 39**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is permitted, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is permitted **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more**

**vulnerabilities, each of which, in turn, has been associated with one or more devices)**.

**As per claim 40**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices)**.

**As per claim 41**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively permitted at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and

the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055], [0100], [0107]-[0115])**.

**As per claim 42**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that one or more options are provided to a user so that the user is capable of selecting each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability **(Banzhof: [0041]: using the central action pack module 28, a vulnerability**

**resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices)**.

**As per claim 43**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: determine the occurrence to have a first severity if it is determined that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence; determine the occurrence to have a second severity if it determined that the at least one actual vulnerability of the at least one of the plurality of devices is not susceptible to being taken advantage of by the occurrence; and report the occurrence differently based on whether the occurrence is determined to have the first severity or the second severity **(Cohen: [0055]: For example, attack simulation may expose or discover a potential attack, but the number of steps or level of technical sophistication required to execute the potential attack are so great that the actual risk of the potential attack taking place is extremely small. [0056] The probability of an attack taking place is combined with the consequences data to rank the vulnerabilities according to actual risks presented and present fixes for the vulnerabilities, step 140. In some embodiments, the system also ranks the risk level of threats and attacks, as well**

**as the risks of business applications and IT infrastructure. In some embodiments, risk takes into account the degree or magnitude of potential damage from a particular attack as well as a probability of such an attack. Vulnerabilities with high consequences data and a high probability of being executed will rank higher in terms than vulnerabilities with lower consequences data and lower probability of being executed. Banzhof: [0062]: Of course, the type, number and severity of vulnerabilities identified for a computer system will be important considerations in determining the risk factor associated with that computer system)**.

**As per claim 44**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Banzhof: [0041]: using the central action pack module 28, a vulnerability resolution system administrator may construct one or more action packs suitable for use in remediating computer systems. Briefly, an action pack is comprised of a set of one or more remediations, each of which have been associated with one or more vulnerabilities, each of which, in turn, has been associated with one or more devices. [0098]: For example, as part of the foregoing processes, a vulnerability in the portable computer 26C may be**

**identified and mapped to a remediation signature. The remediation agent 163 may instead be instructed to use the firewall application 170 to close off the port under attack, to filter for specific identified elements, to filter for actions from specific identified processes, or otherwise be employed to temporarily or permanently block key access or filter key areas to mitigate the identified risk until a more elegant solution may be obtained. Also, [0054]-[0055])**.

**As per claim 45**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type **(Banzhof: [0048]: As disclosed herein, the remediation signatures include the following types of remediation actions: service management, registry management, security permissions management, account management, policy management, audit management, file management, process management, as well as service pack, hot fix and patch installation)**.

**As per claim 46**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type **(Banzhof: [0048]: As disclosed herein, the remediation signatures include the following types of remediation actions: service management, registry management, security permissions management, account management, policy**

**management, audit management, file management, process management, as well as service pack, hot fix and patch installation)**.

**As per claim 47**, Cole in view of Cohen and Banzhof teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that at least one of: said at least one first data storage includes at least one first database; said at least one second data storage includes at least one second database; said at least one platform includes at least one processor **(Cole: column 14, lines 28-65)**; said potential vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith; said actual vulnerability information is generated via a vulnerability scan operation **(Cole: column 17, lines 25-67)**; said first device, said second device, and said third device are part of the same group; said at least one configuration includes at least one of configuration data, configuration information, or a configuration status; said at least one configuration includes at least one of a configuration option, a policy setting, or a patch; said at least one configuration is identified via user input in connection with at least one setting **(Cole: Fig. 1, column 14, lines 28-47, column 16, lines 39-67, column 18, line 56-column 19, line 50)**; said occurrence mitigation by preventing advantage being taken includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that is capable of taking advantage of the at least one actual vulnerability; said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the

occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall **(Banzhof: [0041], [0098])**; said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence **(Banzhof: [0041], [0048])**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices **(Banzhof: [0041], [0048]-[0052])**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices **(Banzhof: [0041], [0048]-[0052], [0057]-[0059])**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of

devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability; said at least one actual vulnerability includes the at least one operating system; said actual vulnerabilities include the at least one actual vulnerability **(Banzhof: [0041], [0048]-[0052], [0057]-[0059])**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which includes the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system; one or more of said different occurrence mitigation actions is capable of being caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types **(Banzhof: [0041], [0048]-[0052], [0057]-[0059])**; one or more of said different occurrence mitigation actions is capable of being caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; said different occurrence mitigation actions include different remediation actions; said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions **(Banzhof: [0041], [0048]-[0052], [0057]-[0059])**; said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack **(Cohen: [0055]-[0056], [0067], 0071])**; said user input includes separate user input for selecting the first occurrence mitigation action and the second

occurrence mitigation action; said first signal and thee second signal include at least one of response signals, or signals sent in response to a query signal **(Banzhof: [0041], [0048]-[0052], [0056]-[0059])**; said first component with the firewall type functionality includes at least one of a firewall, a gateway with the firewall type functionality, a router with the firewall type functionality, a sensor with the firewall type functionality, or a multiple-security product system with the firewall type functionality **(Banzhof: [0098])**; said preventing includes at least one of rejecting a request, disallowing an attempt, dropping at least one packet, blocking a potential attack, redirecting a request, setting a policy, affecting a service, changing a configuration option, or installing a patch; or said automatic response includes a real-time response **(Banzhof: [0048], [0057], [0098])**.

***Conclusion***

16. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

US 20030126472 to Carl Banzhof: A system and process for addressing computer security vulnerabilities.

US 7073198 to Flowers et al: A system and method in accordance with the invention reliably and non-intrusively identifies various conditions of a network.

US 20050235360 to Pearson: Methods and systems for remotely configuring and monitoring a communication device are provided, especially useful in a computer network environment such as the Internet.

US 20120210434 to Curtis et al: A management platform that allows security and compliance users to view risks and vulnerabilities in their environment with the added

context of what other mitigating security countermeasures are associated with that vulnerability and that are applicable and/or available within the overall security architecture.

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

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

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on (571)272-3787. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MADHURI R. HERZOG

Primary Examiner
Art Unit 2438

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

| Notice of References Cited | Application/Control No. 15/608,981 | Applicant(s)/Patent Under Reexamination Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | Page 1 of 1 |

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| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Name | CPC Classification | US Classification |
|---|---|---|---|---|---|---|
| * | A | US-7257630-B2 | 08-2007 | Cole; David M. | G02B5/3083 | 709/224 |
| * | B | US-20030126472-A1 | 07-2003 | Banzhof, Carl E. | G06F21/577 | 726/25 |
| * | C | US-7073198-B1 | 07-2006 | Flowers; John S. | H04L63/1433 | 713/151 |
| * | D | US-20050235360-A1 | 10-2005 | Pearson, Sterling Michael | H04L29/06 | 726/23 |
| * | E | US-20060101517-A1 | 05-2006 | Banzhof; Carl E. | G06F21/577 | 726/25 |
| * | F | US-20120210434-A1 | 08-2012 | Curtis; Michael S. | G06F21/577 | 726/25 |
| * | G | US-20050193430-A1 | 09-2005 | Cohen, Gideon | G06F21/577 | 726/25 |
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**NON-PATENT DOCUMENTS**

| * | | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
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*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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

**CLAIMS**

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

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | | | | | | | | |
| | 1 | - | | | | | | | | |
| | 2 | - | | | | | | | | |
| | 3 | - | | | | | | | | |
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| | 20 | - | | | | | | | | |
| | 21 | ✓ | | | | | | | | |
| | 22 | ✓ | | | | | | | | |
| | 23 | ✓ | | | | | | | | |
| | 24 | ✓ | | | | | | | | |
| | 25 | ✓ | | | | | | | | |
| | 26 | ✓ | | | | | | | | |
| | 27 | ✓ | | | | | | | | |
| | 28 | ✓ | | | | | | | | |
| | 29 | ✓ | | | | | | | | |
| | 30 | ✓ | | | | | | | | |
| | 31 | ✓ | | | | | | | | |
| | 32 | ✓ | | | | | | | | |
| | 33 | ✓ | | | | | | | | |
| | 34 | ✓ | | | | | | | | |
| | 35 | ✓ | | | | | | | | |
| | 36 | ✓ | | | | | | | | |
| | 37 | ✓ | | | | | | | | |
| | 38 | ✓ | | | | | | | | |
| | 39 | ✓ | | | | | | | | |
| | 40 | ✓ | | | | | | | | |
| | 41 | ✓ | | | | | | | | |
| | 42 | ✓ | | | | | | | | |

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | | | | | | | | |
| | 43 | ✓ | | | | | | | | |
| | 44 | ✓ | | | | | | | | |
| | 45 | ✓ | | | | | | | | |
| | 46 | ✓ | | | | | | | | |
| | 47 | ✓ | | | | | | | | |

| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| CPC - Searched* | | |
|---|---|---|
| **Symbol** | **Date** | **Examiner** |
| H04L 63/02$, 63/14$, 63/20$ | 06/14/2018 | M.H |
| G06F 21/5$ | 06/14/2018 | M.H |

| CPC Combination Sets - Searched* | | |
|---|---|---|
| **Symbol** | **Date** | **Examiner** |
| | | |

| US Classification - Searched* | | | |
|---|---|---|---|
| **Class** | **Subclass** | **Date** | **Examiner** |
| | | | |

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

| Search Notes | | |
|---|---|---|
| **Search Notes** | **Date** | **Examiner** |
| Inventor search, Assignee search | 06/14/2018 | M.H |
| East search | 06/14/2018 | M.H |

| Interference Search | | | |
|---|---|---|---|
| **US Class/CPC Symbol** | **US Subclass/CPC Group** | **Date** | **Examiner** |
| | | | |

| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
|---|---|

**EAST Search History**

**EAST Search History (Prior Art)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
|---|---|---|---|---|---|---|
| S1 | 0 | "15608981" | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 09:15 |
| S2 | 1 | "14816931" | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 09:16 |
| S3 | 27 | "14138014" | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 13:41 |
| S4 | 23 | (determin$6 or find$4 or discover$4 or uncover$4 or detect$4 or scan$4 or examin$6 or analy$4) with (client or device or machine or equipment or computer or laptop) with (vulnerable or vulnerabilit$4) with (operating system or os or configuration) with potential near2 vulnerabilit$4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 14:20 |
| S5 | 10 | (US-5999179-$ \| US-6766458-$ \| US-7234163-$ \| US-7257630-$ \| US-20020171546-$).DID. | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 15:07 |
| S6 | 8 | (US-6907531-$ \| US-6957348-$ \| US-7073198-$ \| US-20030126472-$).DID. | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 15:13 |
| S7 | 3 | "20050235360" | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 15:18 |
| S9 | 2 | "20060101517" | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 15:22 |
| S8 | 406 | banzhof and vulnerabilit$4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 15:22 |
| S10 | 8 | (US-6185689-$ \| US-6298445-$ \| US-7240193-$ \| US-20030135749-$).DID. | US-PGPUB; USPAT; | ADJ | ON | 2018/06/12 15:32 |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | | EPO; JPO; DERWENT; IBM_TDB | | | |
| S11 | 42 | (US-7367054-$ \| US-8250654-$ \| US-8266320-$ \| US-20020138416-$ \| US-20040148520-$ \| US-20050193430-$ \| US-20050216957-$ \| US-20060041936-$ \| US-20060101517-$ \| US-20080047016-$ \| US-20080127349-$ \| US-20080222724-$ \| US-20090077666-$ \| US-20100218256-$ \| US-20100241478-$ \| US-20110138036-$ \| US-20120110671-$ \| US-20120173931-$ \| US-20120210434-$ \| US-20130055394-$ \| US-20140215605-$).DID. | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/12 15:38 |
| S12 | 17 | (determin$6 or find$4 or discover$4 or uncover$4 or detect$4 or scan$4 or examin$6 or analy$4) with (actual or real) near5 vulnerabilit$4 with (operating system or os or configuration) with (potential or raw) near5 vulnerabilit$4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/13 15:16 |
| L1 | 73 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and (determin$6 or find$4 or discover$4 or uncover$4 or detect$4 or scan$4 or examin$6 or analy$4) with (actual or real) near5 vulnerabilit$4 with (potential or raw) near5 vulnerabilit$4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/06/14 14:14 |

**EAST Search History (Interference)**

< This search history is empty>

**6/ 14/ 2018 2:20:06 PM**
**C:\ Users\ mherzog\ Documents\ EAST\ Workspaces\ App15608981.wsp**

# Bibliographic Data

Application No: 15/608,981

Foreign Priority claimed: ○ Yes ◉ No

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

Verified and Acknowledged: /MADHURI R HERZOG/ Examiner's Signature | Initials

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

| FILING or 371(c) DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET NO. |
|---|---|---|---|
| 05/30/2017 | 726 | 2438 | SP1P012D |
| RULE | | | |

**APPLICANTS**

SecurityProfiling, LLC, Woodville, TX,

**INVENTORS**

Brett M. Oliphant Plano, TX, UNITED STATES

John P. Blignaut West Lafayette, IN, UNITED STATES

**CONTINUING DATA**

This application is a CON of 14816931 08/03/2015

14816931 is a CON of 14499230 09/28/2014 PAT 9100431

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

14138014 is a CON of 10882852 07/01/2004

10882852 has PRO of 60484085 07/01/2003

**FOREIGN APPLICATIONS**

**IF REQUIRED, FOREIGN LICENSE GRANTED****

06/07/2017

**** SMALL ENTITY ****

**STATE OR COUNTRY**

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**ADDRESS**

The Caldwell Firm, LLC

PO Box 59655

Dept. SVIPGP

Dallas, TX 75229

UNITED STATES

**FILING FEE RECEIVED**

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The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

**Courtesy Reminder for**
**Application Serial No: 15/608,981**

Attorney Docket No: SP1P012D
Customer Number: 92045
Date of Electronic Notification: 06/20/2018

This is a courtesy reminder that new correspondence is available for this application. If you have not done so already, please review the correspondence. The official date of notification of the outgoing correspondence will be indicated on the form PTOL-90 accompanying the correspondence.

An email notification regarding the correspondence was sent to the following email address(es) associated with your customer number:
pcaldwell@thecaldwellfirm.com
eofficeaction@appcoll.com

To view your correspondence online or update your email addresses, please visit us anytime at **https://sportal.uspto.gov/secure/myportal/privatepair.** If you have any questions, please email the Electronic Business Center (EBC) at EBC@uspto.gov or call 1-866-217-9197.

| **Doc Code: DIST.E.FILE**<br>**Document Description: Electronic Terminal Disclaimer - Filed** | PTO/SB/25<br>PTO/SB/26<br>U.S. Patent and Trademark Office<br>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 | 15608981 |
| Filing Date | 30-May-2017 |
| First Named Inventor | Brett Oliphant |
| Attorney Docket Number | SP1P012D |
| 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)

14816931 filed on 08/03/2015

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 44580

○ A sole inventor

○ A joint inventor; I certify that I am authorized to sign this submission on behalf of all of the inventors as evidenced by the power of attorney in the application

○ A joint inventor; all of whom are signing this request

| | |
|---|---|
| Signature | /Patrick Caldwell/ |
| Name | Patrick Caldwell |

*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| STATUTORY OR TERMINAL DISCLAIMER | 2814 | 1 | 160 | 160 |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | | **Total in USD ($)** | **160** |

Doc Code: DISQ.E.FILE
Document Description: Electronic Terminal Disclaimer – Approved

Application No.: 15608981

Filing Date: 30-May-2017

Applicant/Patent under Reexamination: Oliphant

Electronic Terminal Disclaimer filed on July 24, 2018

☒ 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:** | 33269604 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 24-JUL-2018 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 16:13:48 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $160 |
| RAM confirmation Number | 072518INTEFSW16134200 |
| Deposit Account | |
| Authorized User | |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: | |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Terminal Disclaimer-Filed (Electronic) | eTerminal-Disclaimer.pdf | 37076<br>6f9b89aebab75d196b7cdea63bf3a415a808ed96 | no | 3 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Fee Worksheet (SB06) | fee-info.pdf | 30622<br>1095a8d2ac5b5e813206823a30508ae2c5e1730e | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 67698 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: July 24, 2018 |

**AMENDMENT A**

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

Examiner:

In response to the Office Action mailed 6/20/18, please enter the following amendments.



Forcepoint LLC
EX-1002
Page 172

**Amendments to the Claims:**

1-.20. (Cancelled)

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

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

at least one first potential vulnerability, and

at least one second potential vulnerability;

said ~~actual~~first vulnerability information generated utilizing the ~~potential~~second vulnerability information, by:

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

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

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

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

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

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

22. (Currently Amended) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is ~~capable of being~~ applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is ~~capable of being~~ applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality.

23. (Currently Amended) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is ~~capable of being~~ applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is ~~capable of being~~ applied to the particular single device.

24. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false

positives, only relevant vulnerabilities prompt user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith.

25. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user.

26. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability.

27. (Currently Amended) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that different user input is ~~capable of being~~permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input ~~is capable of resulting~~ results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user-selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence.

28. (Currently Amended) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is ~~capable of being~~permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input ~~is capable of~~

~~resulting~~results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being supplemented by the second occurrence mitigation action of the other occurrence mitigation type at the first device.

29. (Currently Amended) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is ~~capable of being~~ permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input ~~is capable of resulting~~ results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device.

30. (Currently Amended) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is ~~capable of being~~permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input ~~is capable of resulting~~results in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence mitigation type.

31. (Currently Amended) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is ~~capable of being~~permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input ~~is capable of resulting~~results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device.

32. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the

firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action.

33. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options.

34. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

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

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

35. (Previously Presented) The non-transitory computer-readable media of Claim 34, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality.

36. (Currently Amended) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are ~~capable of~~for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences.

37. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

38. (Currently Amended) The non-transitory computer-readable media of Claim 21, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device; the determining that

the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence packet to determine whether a first actual vulnerability of the first device identified by the ~~actual~~first vulnerability information is configured so as to be taken~~capable of being taken~~ advantage of by the at least one first occurrence packet, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the ~~actual~~first vulnerability information is configured so as to be taken~~capable of being taken~~ advantage of by the at least one second occurrence packet; and the ~~causing~~permitting the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device.

39. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is permitted, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is permitted.

40. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence.

41. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively permitted at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence.

42. (Currently Amended) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select ~~capable of selecting~~ each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability.

43. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

44. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

receive a first user input;

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

receive a second user input; and

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

45. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type.

46. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type.

47. (Cancelled)

48. (New) The non-transitory computer-readable media of Claim 38, wherein the instructions are configured such that at least one of:

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

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

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

said second vulnerability information includes accurately identified vulnerability information;

said second vulnerability information includes actual vulnerability information;

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

said first vulnerability information includes potential vulnerability information;

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

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

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

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

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

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

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

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

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

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

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

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

said actual vulnerabilities include the at least one actual vulnerability;

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of



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devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which includes the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system;

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

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

said different occurrence mitigation actions include different remediation actions;

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

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

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

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

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

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

said automatic response includes a real-time response.

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

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

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

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

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

said first vulnerability information identifies at least one actual vulnerability;

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

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

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

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

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

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

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

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

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

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

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

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

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of

devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices;

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

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

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

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

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

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

said different occurrence mitigation actions include different remediation actions;

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

receive a first user input;

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

receive a second user input; and

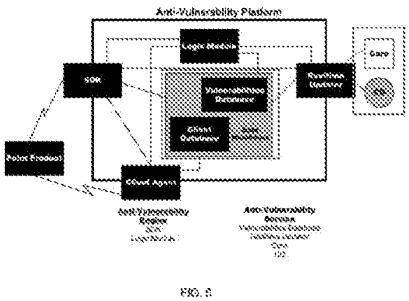
based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type.

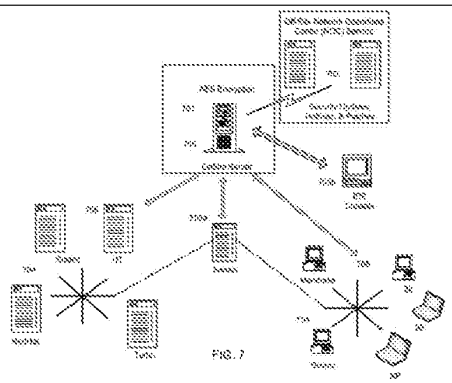
**Remarks:**

The claims have been clarified.

The claims are rejected on the ground of nonstatutory double patenting as being unpatentable over U.S. Patent No. 8984644, U.S. Patent No. 9225686, U.S. Patent No. 9117069, U.S. Patent No. 9118711, and Application No. 14/816931. Such rejection is deemed avoided by virtue of the terminal disclaimers filed concurrently herewith.

Claim 21 is rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, as failing to comply with the written description requirement. Specifically, the Examiner indicated that no support was found describing the procedure to determine actual vulnerabilities of a device based on device configuration and potential vulnerability information. Applicant respectfully disagrees. See Figs. 5B-12 and description thereof (with exemplary excerpts below-annotations/emphasis added). It should be also noted that the substance of such excerpts may also be found in U.S. App. No.: 60/484,085, filed July 1, 2003.

| **Claim Language** | **Exemplary Support** |
|---|---|
| receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability; |  |

| | |
|---|---|
| |  <br>"**Network operations center (NOC) Servers** periodically synchronize the **customers' servers** with the latest **vulnerability** and update data.""<br><br>"technology may integrate with and enable network security products to intelligently reference and share information from the **same vulnerability data set**," |
| said first vulnerability information generated utilizing the second vulnerability information, by:<br><br>identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and<br><br>determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities; | "….automatically determines the update and dependency requirements for all computers on a network, based on their individual **operating systems, applications, and previously installed updates**…"<br><br>"a product architect can integrate functionalities listed in the previous section to enable the scanner to access the logic engine and platform, and then have the intelligence to determine if the machine has **actual vulnerabilities**, remediate them, and verify policy compliance."<br><br>"the platform enables network security products to share information via its proprietary logic engine to automatically **cross-reference the threat identifier with the targeted machine's configuration to determine if it is actually vulnerable to that threat**."<br><br>"the platform may 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. ….<br><br>The **same vulnerability data warehouse information** is |

| | |
|---|---|
| | shared with all products so that more intelligent actions may then be taken to mitigate complex threats.<br><br>Still yet, **it may cross-reference the threat's identifier with the target's configuration**. The threat's CVE ID, or other identifier, and the destination IP address are fed into the logic engine **where it cross-references the threat with the machine's existing OS, application, and patch configuration profile**. **An answer is returned accurately indicating if the machine is vulnerable.** Thereby, minimizes erroneous, benign, and false positive data produced by each security product.<br><br>**One embodiment identifies network vulnerabilities. The platform may independently identify which network machines and devices have vulnerabilities by querying a client agent, or a device's OS or firmware directly**."<br><br>"In 804, agents **accurately identifies OS, apps, and updates installed on each client by file versions and hashes**. In 805, **logic engine automatically determines which updates are needed on each client, taking into account OS, app, and update dependencies**. In 806, appropriate updates are automatically deployed, installed, and validated on each client."<br><br>"As shown in 1104, agents are deployed to each client, **accurately identifying which OS, apps, and updates are installed**. In 1105, **the logic engine automatically determines which updates are needed to remediate the targeted machine, and may be remotely deployed from the IPS console**. In 1106, appropriate updates are remotely deployed, installed, and validated on each client."<br><br>"Vulnerability scanners assess each machine on the network for vulnerabilities, and create lists of potential vulnerabilities to the system managers."<br><br>"For example, if the malicious code has been written as a Windows based attack targeting a **Windows** vulnerability, is the Destination IP actually running **Windows**, or a UNIX variant? And, if Windows, is it vulnerable to the attack, or has it already been patched?" |

It should be noted that such non-exhaustive exemplary support is set forth for illustrative purposes only, and such citations (and any context thereof) should not be construed as limiting to claims in any manner.

Claims 22, 23, 27-31, 36, 38, 42 and 47 are rejected under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention. Such rejection is deemed avoided by virtue of the amendments made hereinabove.

Claims 21-47 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over US 7257630 to Cole et al (hereinafter Cole), US 20050193430 to Cohen et al (hereinafter Cohen) and US 20060101517 to Banzhof et al (hereinafter Banzhof). In response, applicant respectfully notes that Banzhof has an earliest filing date of October 28, 2004, and the instant application claims priority to U.S. App. No.: 60/484,085 filed July 1, 2003. Thus, Banzhof is not prior art, and the above rejection is unfounded.

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

Applicant the appropriate fees for the request for continued examination and the newly added claims. Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other

than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-4964 (Order No. SP1P012D).

Respectfully submitted,



Dated: 24 Jul 2018

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Reg. No. 44,580

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| **Pages:** | | | | |
| **Claims:** | | | | |
| CLAIMS IN EXCESS OF 20 | 2202 | 18 | 50 | 900 |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | | **Total in USD ($)** | **900** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 33269506 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 24-JUL-2018 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 18:44:27 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $900 |
| RAM confirmation Number | 072518INTEFSW18453700 |
| Deposit Account | |
| Authorized User | |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: | |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Amendment/Req. Reconsideration-After Non-Final Reject | SP1P012D_AmendmentA_vF_24-Jul-2018.pdf | 232922<br>b384efb1b2a54e9dbf0c7c4571807807b474c6cf | no | 24 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Fee Worksheet (SB06) | fee-info.pdf | 30587<br>c184120a0f55ca7d0a62f391e64bb505eccf7589 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 263509 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

PTO/SB/06 (09-11)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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| PATENT APPLICATION FEE DETERMINATION RECORD<br>Substitute for Form PTO-875 | Application or Docket Number<br>15/608,981 | Filing Date<br>05/30/2017 | ☐ To be Mailed |
|---|---|---|---|

**ENTITY:** ☐ LARGE ☑ SMALL ☐ MICRO

## APPLICATION AS FILED - PART I

| FOR | (Column 1)<br>NUMBER FILED | (Column 2)<br>NUMBER EXTRA | | RATE ($) | FEE ($) |
|---|---|---|---|---|---|
| ☐ BASIC FEE<br>(37 CFR 1.16(a), (b), or (c)) | N/A | N/A | | N/A | |
| ☐ SEARCH FEE<br>(37 CFR 1.16(k), (i), or (m)) | N/A | N/A | | N/A | |
| ☐ EXAMINATION FEE<br>(37 CFR 1.16(o), (p), or (q)) | N/A | N/A | | N/A | |
| TOTAL CLAIMS<br>(37 CFR 1.16(i)) | minus 20 = | * | | x $40 = | |
| INDEPENDENT CLAIMS<br>(37 CFR 1.16(h)) | minus 3 = | * | | x $210 = | |
| ☐ APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | |
| ☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | | |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | | TOTAL | |

## APPLICATION AS AMENDED - PART II

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | 07/24/2018 | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * 32 | Minus | ** 27 | = 5 | | x $50 = | 250 |
| | Independent<br>(37 CFR 1.16(h)) | * 1 | Minus | *** 3 | = 0 | | x $230 = | 0 |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | 250 |

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * | Minus | ** | = | | x $0 = | |
| | Independent<br>(37 CFR 1.16(h)) | * | Minus | *** | = | | x $0 = | |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | |

| | |
|---|---|
| * If the entry in column 1 is less than the entry in column 2, write "0" in column 3. | LIE |
| ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". | Tracey M Young |
| *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". | |
| The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1. | |

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re application of:<br><br>Oliphant et al.<br><br>Application No.: 15/608,981<br><br>Filed: 5/30/2017<br><br>For: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Confirmation No.: 9076<br><br>Examiner: HERZOG, Madhuri R.<br><br>Art Unit: 2438<br><br>Atty. Docket No.: SP1P012D<br><br>Date: 10/25/2018 |

Please correct the Applicant Information as follows:

**APPLICANT INFORMATION**

| | |
|---|---|
| Applicant Type:: | Assignee |
| Organization Name:: | SecurityProfiling, LLC |
| Mailing Address:: | ~~318 West Dogwood~~ 1919 S Shiloh Rd. |
| City:: | ~~Woodville~~ Garland |
| State:: | TX |
| Postal Code:: | ~~75979~~ 75042 |
| Country:: | US |

**SIGNATURE:**

A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 10.18. Please see 37 CFR 1.4(d) for the form of the signature.

Respectfully submitted,



Dated: 25 Oct 2018

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

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

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 34121822 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 25-OCT-2018 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 21:29:29 |
| **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 | Application Data Sheet | SP1P012D_Supp_ADS_vF_25-Oct-2018.pdf | 28418<br>e6402c2b595fe030948d8dc7402052dbc5094f89 | no | 1 |

**Warnings:**

| Information: | |
|---|---|
| This is not an USPTO supplied ADS fillable form | |
| **Total Files Size (in bytes):** | 28418 |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**
**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**
**National Stage of an International Application under 35 U.S.C. 371**
**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**
**New International Application Filed with the USPTO as a Receiving Office**
**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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Alexandria, Virginia 22313-1450
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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

92045 7590 11/05/2018

The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 2438 | |

| NOTIFICATION DATE | DELIVERY MODE |
|---|---|
| 11/05/2018 | ELECTRONIC |

**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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

eofficeaction@appcoll.com
pcaldwell@thecaldwellfirm.com

| *Office Action Summary* | **Application No.** 15/608,981 | **Applicant(s)** Oliphant et al. | |
|---|---|---|---|
| | **Examiner** MADHURI R HERZOG | **Art Unit** 2438 | **AIA Status** No |

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

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☑ Responsive to communication(s) filed on 07/24/2018.

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

2a)☑ This action is **FINAL.** 2b) ☐ This action is non-final.

3)☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

4)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims***

5) ☑ Claim(s) 1-46 and 48 is/are pending in the application.

5a) Of the above claim(s) _____ is/are withdrawn from consideration.

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 1-46 and 48 is/are rejected.

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

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

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to **PPHfeedback@uspto.gov.**

**Application Papers**

10)☐ The specification is objected to by the Examiner.

11)☐ The drawing(s) filed on _____ 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**

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

**Certified copies:**

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

**Attachment(s)**

1) ☑ Notice of References Cited (PTO-892)

2) ☐ Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b) Paper No(s)/Mail Date _____.

3) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date _____.

4) ☐ Other: _____.

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

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

2. The following is a Final Office action in response to communications received 07/24/2018.

### *Terminal Disclaimer*

3. The terminal disclaimer filed on 07/24/2018 disclaiming the terminal portion of any patent granted on this application which would extend beyond the expiration date of **any patent granted on Application Number 14/816931 and Patent Numbers 9118711, 9117069, 9225686 and 8984644** has been reviewed and is accepted. The terminal disclaimer has been recorded.

### *Response to Amendment*

4. Claim 47 has been cancelled. New claims numbered 48 and 42-46 have been added.

5. Claims 21-23, 27-31, 36, 38 and 42 have been newly added.

6. Examiner's provisional double patenting rejection of the claims over claims of 14/816931 and double patenting rejection of the claims over claims of US 9118711, US 9117069, US 9225686 and US 8984644 has been withdrawn in light of the terminal disclaimer filed by the applicants.

7. Examiner's rejection of claim 21 under 35 U.S C 112(a) or 35 U.S.C 112, first paragraph (pre-AIA) has been withdrawn in light of the applicant's amendments to the claims.

8. Examiner's rejection of claims 22, 23, 27-31, 36, 38 and 42 under 35 U.S C 112(b) or 35 U.S.C 112, second paragraph (pre-AIA) has been withdrawn in light of the applicant's amendments to the claims.

9. Applicant's arguments with respect to claim 21 have been considered but are moot in view of the new grounds of rejection presented in the current rejection.

***Claim Objections***

10. The numbering of claims is not in accordance with 37 CFR 1.126 which requires the original numbering of the claims to be preserved throughout the prosecution. When claims are canceled, the remaining claims must not be renumbered. When new claims are presented, they must be numbered consecutively beginning with the number next following the highest numbered claims previously presented (whether entered or not).

Misnumbered claims 42-46 that have been added after newly added claim 48 should be renumbered as claims 49-53 respectively. For the purpose of this office action and to avoid confusion with previous claims 42-46, the newly added claims 42-46 will be referred to claims 49-53.

***Double Patenting***

11. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the

unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on nonstatutory double patenting provided the reference application or patent either is shown to be commonly owned with the examined application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement. See MPEP § 717.02 for applications subject to examination under the first inventor to file provisions of the AIA as explained in MPEP § 2159. See MPEP §§ 706.02(l)(1) - 706.02(l)(3) for applications not subject to examination under the first inventor to file provisions of the AIA. A terminal disclaimer must be signed in compliance with 37 CFR 1.321(b).

The USPTO Internet website contains terminal disclaimer forms which may be used. Please visit www.uspto.gov/patent/patents-forms. The filing date of the application in which the form is filed determines what form (e.g., PTO/SB/25, PTO/SB/26,

PTO/AIA/25, or PTO/AIA/26) should be used. A web-based eTerminal Disclaimer may be filled out completely online using web-screens. An eTerminal Disclaimer that meets all requirements is auto-processed and approved immediately upon submission. For more information about eTerminal Disclaimers, refer to www.uspto.gov/patents/process/file/efs/guidance/eTD-info-I.jsp.

12. Claims 21-46, 48-53 are provisionally rejected on the ground of nonstatutory double patenting as being unpatentable over claims 21-24 and 26-58 of copending Application No. 15/608978 (reference application). Although the claims at issue are not identical, they are not patentably distinct from each other because:

Claim 21 of the instant application: 21. (Currently Amended) A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to: receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability; said first vulnerability information generated utilizing the second vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities; identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of

devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices; wherein the at least one configuration involves at least one operating system.

Is analogous to:

Claim 21 of Application No. 15/608978: 21. (Currently Amended) A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to: receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities; said first vulnerability information generated utilizing the second vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and determining that the plurality of devices is vulnerable to at least one accurately identified vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities; identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one accurately identified vulnerability of the at least one of

the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and allow selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and an intrusion prevention system-based occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of accurately identified vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices; wherein the at least one configuration involves at least one operating system.

Similarly, the rest of the dependent and independent claims of the instant application are analogous to the rest of the dependent and independent claims of Application No. 15/608978.

This is a provisional nonstatutory double patenting rejection because the patentably indistinct claims have not in fact been patented.

### *Claim Rejections - 35 USC § 112*

13. The following is a quotation of 35 U.S.C. 112(b):

> (b) CONCLUSION.—The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the inventor or a joint inventor regards as the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), second paragraph:

> The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

14. Claim 21 is rejected under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards

as the invention. Claim 21 has been amended to recite first vulnerability information and second vulnerability information. However, the claim also recites actual vulnerability and potential vulnerability. It is unclear whether these phrases are the same as first and second vulnerabilities or different.

15. Also, claim 21 recites: "determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities". The applicant cited paragraphs showing support for this limitation. However, the specification of the instant application and parent applications show support for determining whether a device is vulnerable to a vulnerability based on configuration and vulnerability information shared and stored amongst various devices. The specifications do not cite determining whether a device is vulnerable based on potential vulnerabilities. The phrase "potential" indicates that a vulnerability has the potential to a vulnerability but not guaranteed to be a vulnerability. As indicated above, the specifications show support for determining that a device is vulnerable to a vulnerability based on vulnerabilities shared amongst various device but does not show proper support for determining that a device is vulnerable to a vulnerability based on "potential vulnerabilities".

***Claim Rejections - 35 USC § 103***

16. The following is a quotation of pre-AIA 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the

> time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

17. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

18. Claims 21-26, 32, 36-41, 43, 45 and 50-52 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over prior art of record US 7257630 to Cole et al (hereinafter Cole), prior art of record US 20050193430 to Cohen et al (hereinafter Cohen) and US 6550012 to Villa et al (hereinafter Villa).

**As per claim 21**, Cole teaches:

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

receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability **(Cole: column 17, lines 25-67: As described in more detail below, in the vulnerability assessment routine 364, the method executes vulnerability scripts that apply known vulnerabilities to open ports of the live target computers to determine whether the ports of the target computers exhibit the potential vulnerabilities. The method uses information stored in a known vulnerability database 366 to select the vulnerability scripts to executes for each active port. Information collected from vulnerable target computers is advantageously stored to the target computer database 344)**;

said first vulnerability information generated utilizing the second vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device **(Cole: column 16, lines 39-67: the method proceeds to an operating system (OS) identification routine 350 wherein the method determines the type and version of operating system present on each of the live computers having open ports)**, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities **(Cole: column 17, lines 25-67: In one embodiment, the vulnerability assessment routine 364 preferably only performs vulnerability checks associated with the identified operating system and open ports of the target computer as determined by the operating system identification routine 350 and service discovery routine 340. the active assessment routine 365 uses information collected from target computers in the vulnerability assessment routine 364 to execute further vulnerability scripts to open ports of the live target computers. Specifically, the active assessment routine 365 reuses known vulnerabilities and information collected from target computers to continue to determine whether the ports of the target computers exhibit potential vulnerabilities, using information from the known vulnerability database 366 and information collected in the target computer database 344. Also, column 41, lines 7-30)**;

wherein the at least one configuration involves at least one operating system **(Cole: column 16, lines 39-67: the method proceeds to an operating system (OS)**

**identification routine 350 wherein the method determines the type and version of operating system present on each of the live computers having open ports)**.

Cole does not teach: identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices. However, Cohen teaches:

identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information **(Cohen: [0067]: FIG. 3 is a flow diagram showing a method of verifying actual vulnerabilities in a computer network in accordance with one embodiment of the present invention. To find raw vulnerabilities which could be exploited, the information discovery agents scan the network from the perspective of an attacker by starting attacks, but stopping before too much damage is done. Packets of data are sent to each network device and any responses received back from the network devices are interpreted to determine whether a raw vulnerability**

**exists. The information discovery agent would send packets containing a query command for the BIND server on a network to return its version number. If the BIND server returns a version number which is known to be vulnerable to attacks, the information discovery agent would report the raw vulnerability. [0071]: As such, in some embodiments, the logic can specify pre-conditions for exploitation of vulnerabilities)**; and

permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices **(Cohen: [0088]: For example, an IDS system might issue an alert that it has detected network traffic to a particular host that appears to be trying to exploit a vulnerability known to affect IIS servers. In some embodiments, the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Cohen in the invention of Cole to include identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence

identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices. The motivation to do so would be to conduct security assessments automatically in a computer network (Cohen: [0010]).

Cole in view of Cohen teaches intrusion prevention system-based occurrence mitigation type (other occurrence mitigation type) but does not teach a firewall-based occurrence mitigation type. However, Villa teaches:

permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices **(Villa: column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule**

**specifically handling the vulnerability (e.g., by blocking access to a specific port or machine))**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Villa in the invention of Cole in view of Cohen to include permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices. The motivation to do so would be to provide automated or proactive network security (Villa: column 3, lines 20-22).

**As per claim 22**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of

devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality **(Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered. Villa: column 7, lines 55-67: System 220 includes a user interface (UI) 260, preferably a Graphical User Interface (GUI), for receiving user commands and data. These inputs, in turn, may be acted upon by the system 100 in accordance with instructions from OS module 240, windows shell 250, and/or client application module(s) 245. Column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available. Column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. Here, the network is configured at the outset (e.g., by a system administrator) to specify which components may participate in the secured communication process. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine))**.

**As per claim 23**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device **(Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered. Villa: column 7, lines 55-67: System 220 includes a user interface (UI) 260, preferably a Graphical User Interface (GUI), for receiving user commands and data. These inputs, in turn, may be acted upon by the system 100 in accordance with instructions from OS module 240, windows shell 250, and/or client application module(s) 245. Column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available. Column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO**

**may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. Here, the network is configured at the outset (e.g., by a system administrator) to specify which components may participate in the secured communication process. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine))**.

**As per claim 24**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only relevant vulnerabilities prompt user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith **(Cole: column 17, lines 25-67: In one embodiment, the vulnerability assessment routine 364 preferably only performs vulnerability checks associated with the identified operating system and open ports of the target computer as determined by the operating system identification routine 350 and service discovery routine 340. Column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available)**.

**As per claim 25**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user **(Villa: column 7, lines 55-67: System 220 includes a user interface (UI) 260, preferably a Graphical User Interface (GUI), for receiving user commands and data. These inputs, in turn, may be acted upon by the system 100 in accordance with instructions from OS module 240, windows shell 250, and/or client application module(s) 245. Column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available)**.

**As per claim 26**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability **(Cole: column 17, lines 25-67: In one embodiment, the vulnerability assessment routine 364 preferably only performs vulnerability checks associated with the identified operating system and open ports of the target computer as determined by the**

**operating system identification routine 350 and service discovery routine 340. Villa: Column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. Here, the network is configured at the outset (e.g., by a system administrator) to specify which components may participate in the secured communication process)**.

**As per claim 32**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action **(Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered. Villa: column 7, lines 55-67, column 11, lines 30-50 and column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the**

**problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. Here, the network is configured at the outset (e.g., by a system administrator) to specify which components may participate in the secured communication process. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine))**.

**As per claim 36**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are capable of being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences **(Villa: Column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. Here, the network is configured at the outset (e.g., by a system administrator) to specify which components may participate in the secured communication**

**process. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine). Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

**As per claim 37**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: based on user input, automatically block the occurrence, to prevent an attack from taking advantage of the at least one actual vulnerability while there is no installation of a patch that removes the at least one actual vulnerability **(Villa: column 7, lines 55-67, column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available)**.

**As per claim 38**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a

first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence packet to determine whether a first actual vulnerability of the first device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one first occurrence packet, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one second occurrence packet **(Cohen: [0055]: For example, attack simulation may expose or discover a potential attack, but the number of steps or level of technical sophistication required to execute the potential attack are so great that the actual risk of the potential attack taking place is extremely small. [0056] The probability of an attack taking place is combined with the consequences data to rank the vulnerabilities according to actual risks presented and present fixes for the vulnerabilities, step 140. In some embodiments, the system also ranks the risk level of threats and attacks, as well as the risks of business applications and IT infrastructure. In some embodiments, risk takes into account the degree or magnitude of potential damage from a particular attack as well as a probability of such an attack. Vulnerabilities with high consequences data and a high probability of being executed will rank higher**

**in terms than vulnerabilities with lower consequences data and lower probability of being executed. [0067]: FIG. 3 is a flow diagram showing a method of verifying actual vulnerabilities in a computer network in accordance with one embodiment of the present invention. To find raw vulnerabilities which could be exploited, the information discovery agents scan the network from the perspective of an attacker by starting attacks, but stopping before too much damage is done. Packets of data are sent to each network device and any responses received back from the network devices are interpreted to determine whether a raw vulnerability exists. The information discovery agent would send packets containing a query command for the BIND server on a network to return its version number. If the BIND server returns a version number which is known to be vulnerable to attacks, the information discovery agent would report the raw vulnerability)**; and the permitting the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality

and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device **(Cohen: [0088]: For example, an IDS system might issue an alert that it has detected network traffic to a particular host that appears to be trying to exploit a vulnerability known to affect IIS servers. In some embodiments, the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered. Villa: column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine))**.

**As per claims 39 and 50**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is permitted, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of

only relevant occurrence mitigation actions is permitted **(Cole: column 68, lines 58-67: Thus, in one embodiment of the present invention, the reports engine produces (1) a dynamic graphical display representing the network topology, the target computers found, and the vulnerabilities found throughout the target network; (2) a comprehensive list of target computers, vulnerabilities found, and vulnerability explanations. Cohen: [0088]: For example, an IDS system might issue an alert that it has detected network traffic to a particular host that appears to be trying to exploit a vulnerability known to affect IIS servers. In some embodiments, the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered. Villa: column 7, lines 55-67, column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available)**.

**As per claims 40 and 51**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence **(Villa: column 7, lines 55-67, column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available)**.

**As per claims 41 and 52**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively permitted at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence **(Villa: Column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. Here, the network is configured at the outset (e.g., by a system administrator) to specify which components may participate in the secured communication process. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine). Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices**

**automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

**As per claim 43**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: determine the occurrence to have a first severity if it is determined that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence; determine the occurrence to have a second severity if it determined that the at least one actual vulnerability of the at least one of the plurality of devices is not susceptible to being taken advantage of by the occurrence; and report the occurrence differently based on whether the occurrence is determined to have the first severity or the second severity **(Cohen: [0012], [0056] The probability of an attack taking place is combined with the consequences data to rank the vulnerabilities according to actual risks presented and present fixes for the vulnerabilities, step 140. In some embodiments, the system also ranks the risk level of threats and attacks, as well as the risks of business applications and IT infrastructure. In some embodiments, risk takes into account the degree or magnitude of potential damage from a particular attack as well as a probability of such an attack. Vulnerabilities with high consequences data and a high probability of being executed will rank higher in terms than vulnerabilities with lower consequences data and lower probability of being executed. [0082]: The**

**present system permits prioritization of vulnerabilities by performing risk mitigation analysis of the vulnerabilities. For example, some vulnerabilities listed in the report such as the web server 246 and 248 NetBios vulnerability and the administration server 254 finger vulnerability are not used in any attacks since these protocols are blocked by the firewalls 234 and 240. Fixes for these vulnerabilities can thus be put off until a later date)**.

**As per claim 45**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type **(Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

19. Claims 27-31, 33-35, 42, 44, 46, 48, 49 and 53 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Cole in view of Cohen and Villa as applied to claim 21 above, and further in view of US 20030126472 to Carl Banzhof (hereinafter Banzhof).

**As per claim 27**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that different user input is permitted to be received prior

to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence **(Villa: Column 12, lines 30-67: The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine). Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

Cole in view of Cohen and Villa does not explicitly teach: wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions. However, Banzhof teaches:

wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of

the different occurrence mitigation actions **(Banzhof: [0024]: security or IT personnel via the server, could select which remediation signatures should be deployed to each client computer 26, or which vulnerabilities should or should not be addressed. In addition, vulnerability resolution can be managed by scheduling the various resolution events. For instance, when and how often the client computers 26 are scanned for vulnerabilities can be scheduled, as well as the timing of the deployment of the remediation signatures to address those vulnerabilities. Also, [0028]-[0029])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 28**, Cole in view of Cohen, Villa and Banzhof teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being

supplemented by the second occurrence mitigation action of the other occurrence mitigation type at the first device **(Villa: column 7, lines 55-67: System 220 includes a user interface (UI) 260, preferably a Graphical User Interface (GUI), for receiving user commands and data. These inputs, in turn, may be acted upon by the system 100 in accordance with instructions from OS module 240, windows shell 250, and/or client application module(s) 245. Column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available. Cohen: [0088]: For example, an IDS system might issue an alert that it has detected network traffic to a particular host that appears to be trying to exploit a vulnerability known to affect IIS servers. In some embodiments, the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

**As per claim 29**, Cole in view of Cohen, Villa and Banzhof teaches:

The non-transitory computer-readable media of claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device **(Banzhof: [0031]: In box 86, the client user,**

**typically an IT person or other computer security personnel, is given the opportunity to select which vulnerabilities should be remediated. Alternatively, a particular vulnerability could be deselected for all target client computers, such that the vulnerability would not be remediated on any of the target computers, perhaps because the vulnerability does not pose a sufficient security risk, the remediation signature is deemed too risky, etc. [0032]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the client computer, or because the remediation actions had unintended deleterious effects, etc., then the remediation can be rolled back or undone and the remediation process can be repeated as indicated in box 99)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 30**, Cole in view of Cohen, Villa and Banzhof teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence mitigation type **(Villa: column 7, lines 55-67: System 220 includes a user interface (UI) 260, preferably a Graphical User Interface (GUI), for receiving user commands and data. These inputs, in turn, may be acted upon by the system 100 in accordance with instructions from OS module 240, windows shell 250, and/or client application module(s) 245. Column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available. Cohen: [0088]: For example, an IDS system might issue an alert that it has detected network traffic to a particular host that appears to be trying to exploit a vulnerability known to affect IIS servers. In some embodiments, the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

**As per claim 31**, Cole in view of Cohen, Villa and Banzhof teaches:

The non-transitory computer-readable media of claim 27 wherein the instructions are configured such that additional user input permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device **(Banzhof: [0031]: In box 86, the client user, typically an IT person or other computer security personnel, is given the opportunity to select which vulnerabilities should be remediated. Alternatively, a particular vulnerability could be deselected for all target client computers, such that the vulnerability would not be remediated on any of the target computers, perhaps because the vulnerability does not pose a sufficient security risk, the remediation signature is deemed too risky, etc. [0032]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the client computer, or because the remediation actions had unintended deleterious effects, etc., then the remediation can be rolled back or undone and the remediation process can be repeated as indicated in box 99)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include wherein the instructions are configured such that additional user input permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input is capable of results in: the first occurrence

mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 33**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options **(Cohen: [0088]: For example, an IDS system might issue an alert that it has detected network traffic to a particular host that appears to be trying to exploit a vulnerability known to affect IIS servers. In some embodiments, the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered. Villa: column 7, lines 55-67,**

**column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available)**.

Cole in view of Cohen and Villa does not explicitly teach: wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence. However, Banzhof teaches:

wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence **(Banzhof: [0024]: security or IT personnel via the server, could select which remediation signatures should be deployed to each client computer 26, or which vulnerabilities should or should not be addressed. In addition, vulnerability resolution can be managed by scheduling the various resolution events. For instance, when and how often the client computers 26 are scanned for vulnerabilities can be scheduled, as well as the timing of the deployment of the remediation signatures to address those vulnerabilities. Also, [0028]-[0029])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are

displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 34**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Villa: column 11, lines 30-50: As a result, its primary use is to provide reports to an IT worker who must then manually correct any system vulnerabilities, when that person is available. Column 12, lines 30-67: The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port**

**or machine). Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

Cole in view of Cohen and Villa does not explicitly teach: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; and receive a second user input selecting a second one of the options, utilizing the at least one user interface. However, Banzhof teaches:

display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; and receive a second user input selecting a second one of the options, utilizing the at least one user interface **(Banzhof: [0024]: security or IT personnel via the server, could select which remediation signatures should be deployed to each client computer 26, or which vulnerabilities should or should not be addressed. In addition, vulnerability resolution can be managed by scheduling the various resolution events. For instance, when and how often the client computers 26 are scanned for vulnerabilities can be scheduled, as well as the timing of the deployment of the remediation signatures to address those vulnerabilities. Also, [0028]-[0029])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of

Cole in view of Cohen and Villa to include display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; and receive a second user input selecting a second one of the options, utilizing the at least one user interface. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 35**, Cole in view of Cohen, Villa and Banzhof teaches:

The non-transitory computer-readable media of Claim 34, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality **(Villa: Column 12, lines 30-67: Upon receipt at the EO of a certogram reporting the problem, the EO may employ the Active Security Layer 350 to create a new certogram informing the actor (e.g., firewall) of detection of the network vulnerability and do so in an authenticated manner. Here, the network is configured at the outset (e.g., by a system administrator) to specify which components may participate in the secured communication process. The firewall (actor), assured of the authenticity of the message, may create a new rule on-the-fly to address the vulnerability. Thus for**

**the example of a writeable FTP directory, the firewall may create a rule specifically handling the vulnerability (e.g., by blocking access to a specific port or machine). Cohen: [0088]: the system is also configured to control and instruct intrusion network and security system measures such as intrusion detection systems, and other devices automatically with respect to preventing, defending, or otherwise taking steps against attacks, exploits, and other activities based upon the raw vulnerabilities discovered)**.

**As per claim 42**, Cole in view of Cohen and Villa does not teach: wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability. However, Banzhof teaches:

wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability **(Banzhof: [0031]: In box 86, the client user, typically an IT person or other computer security personnel, is given the opportunity to select which vulnerabilities should be remediated. Generally, the selection is made by**

**reviewing the information regarding vulnerabilities, proposed signatures, and profiles. The selection and review may be made for each computer or by vulnerability. Once the user has selectively managed which vulnerabilities will be remediated, the user can then select which computers will be approved to receive remediation in box 87. In box 88, the proposed remediation is analyzed to determine which remediation signatures will be required)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claims 44 and 53**, Cole in view of Cohen and Villa does not explicitly teach: wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on

the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. However, Banzhof teaches:

wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Banzhof: [0024]: security or IT personnel via the server, could select which remediation signatures should be deployed to each client computer 26, or which vulnerabilities should or should not be addressed. In addition, vulnerability resolution can be managed by scheduling the various resolution events. For instance, when and how often the client computers 26 are scanned for vulnerabilities can be scheduled, as well as the timing of the deployment of the remediation signatures to address those vulnerabilities. Also, [0028]-[0029])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation

type. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 46**, Cole in view of Cohen and Villa does not teach: wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type. However, Banzhof teaches:

wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type **(Banzhof: [0020]: patch installation)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 48**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 38, wherein the instructions are configured such that at least one of: said at least one first data storage includes at least one first database; said at least one second data storage includes at least one second database **(Cole: column 14, lines 28-65)**; said second vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom,

communicating therewith, or synchronizing therewith; said second vulnerability information includes accurately identified vulnerability information; said second vulnerability information includes actual vulnerability information **(Cole: column 17, lines 25-67)**; said first vulnerability information is generated via a vulnerability scan operation; said first vulnerability information includes potential vulnerability information **(Cole: column 17, lines 25-67)**; said first device, said second device, and said third device are part of the same group; said at least one configuration includes at least one of configuration data, configuration information, or a configuration status; said at least one configuration includes at least one of a configuration option, a policy setting, or a patch; said at least one configuration is identified via user input in connection with at least one setting **(Cole: Fig. 1, column 14, lines 28-47, column 16, lines 39-67, column 18, line 56-column 19, line 50)**; said occurrence mitigation by preventing advantage being taken includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that takes advantage of the at least one actual vulnerability **(Cohen: [0088])**; said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall **(Villa: column 12, lines 30-67)**; said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence **(Cohen: [0088])**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices,

includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices **(Villa: column 12, lines 30-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices **(Villa: column 4, lines 33-50, column 12, lines 30-67; Cohen: [0088])**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices **(Villa: column 4, lines 33-50, column 12, lines 30-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability **(Villa: column 4, lines 33-50, column 12, lines 30-67)**; said at least one actual vulnerability includes the at least one operating system **(Cole: column 17, lines 25-45)**; said actual vulnerabilities include the at least one actual vulnerability **(Cole: Fig. 1, column 14, lines 28-47, column 16, lines 39-67, column 18, line 56-column 19, line 50)**; said preventing

advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which includes the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system **(Villa: column 4, lines 33-50, column 12, lines 30-67, Cole: column 17, lines 25-45)**; one or more of said different occurrence mitigation actions is caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; one or more of said different occurrence mitigation actions is caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; said different occurrence mitigation actions include different remediation actions; said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions **(Villa: column 4, lines 33-50, column 12, lines 30-67. Cohen: [0088])**; said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack **(Cohen: [0055]-[0056], [0067], [0071], [0088])**; said first signal and the second signal include at least one of response signals, or signals sent in response to a query signal; said first component with the firewall type functionality includes at least one of a firewall, a gateway with the firewall type functionality, a router with the firewall type functionality, a sensor with the firewall type functionality, or a multiple-security product system with the firewall type functionality **(Villa: column 4, lines 33-50, column 11, lines 30-50 and column 12, lines 30-67)**;

said preventing includes at least one of rejecting a request, disallowing an attempt, dropping at least one packet, blocking a potential attack, redirecting a request, setting a policy, affecting a service, changing a configuration option, or installing a patch; or said automatic response includes a real-time response **(Cohen: [0082]-[0083], Villa: column 12, lines 30-67)**.

Cole in view of Cohen and Villa does not explicitly teach: said user input includes separate user input for selecting the first occurrence mitigation action and the second occurrence mitigation action. However, Banzhof teaches:

said user input includes separate user input for selecting the first occurrence mitigation action and the second occurrence mitigation action **(Banzhof: [0024], [0028]-[0029])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include said user input includes separate user input for selecting the first occurrence mitigation action and the second occurrence mitigation action. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 49**, Cole in view of Cohen and Villa teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that each of: said at least one first data storage includes at least one first database; said at least one second data storage includes at

least one second database **(Cole: column 14, lines 28-65)**; said second vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith; said first vulnerability information is generated via a vulnerability scan operation **(Cole: column 17, lines 25-67)**; said first vulnerability information identifies at least one actual vulnerability; said first vulnerability information includes at least one of a vulnerability identifier or information associated with one or more of the actual vulnerabilities **(Cole: column 17, lines 25-67)**; said first device, said second device, and said third device are part of the same group; said at least one configuration includes at least one of configuration data, configuration information, or a configuration status; said at least one configuration includes at least one of a configuration option, a policy setting, or a patch; said at least one configuration for being utilized for identifying the at least one operating system or an application; said at least one configuration is identified utilizing information regarding the at least one operating system or an application; said at least one configuration is identified via user input in connection with at least one setting **(Cole: Fig. 1, column 14, lines 28-47, column 16, lines 39-67, column 18, line 56-column 19, line 50)**; said occurrence mitigation includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that takes advantage of the at least one actual vulnerability; said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall **(Villa: column 12, lines 30-67)**; said other occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing

intrusion prevention system functionality, or a type that mitigates the occurrence utilizing an intrusion prevention system **(Cohen: [0088])**; said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence **(Villa: column 12, lines 30-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices **(Villa: column 4, lines 33-50, column 12, lines 30-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one

of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability **(Villa: column 4, lines 33-50, column 12, lines 30-67)**; said at least one actual vulnerability is the at least one operating system **(Cole: column 17, lines 25-45)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which is the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system **(Villa: column 4, lines 33-50, column 12, lines 30-67, Cole: column 17, lines 25-45)**; one or more of said different occurrence mitigation actions is caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; one or more of said different occurrence mitigation actions is caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; said different occurrence mitigation actions include different remediation actions; said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions **(Villa: column 4, lines 33-50, column 12, lines 30-67)**; said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack **(Cohen: [0055]-[0056], [0067], [0071], [0088])**; said at least one actual vulnerability includes at least one of the potential vulnerabilities to which the plurality of devices is determined to be actually vulnerable based on the

identified at least one configuration **(Cole: column 17, lines 25-45)**; said at least one configuration includes at least one of: service pack information, one or more elements contained in files including at least one of an *.ini or *.conf file, registry information, identification of the at least one operating system, identification of a software version, or identification of software **(Cole: column 17, lines 25-45)**; said determining that the plurality of devices is actually vulnerable to the at least one actual vulnerability includes at least one of: matching the identified at least one configuration with a guideline associated with at least one update, or cross-referencing an identifier with the identified at least one configuration **(Cole: column 17, lines 25-45)**; said non-transitory computer-readable media includes a single non-transitory computer readable medium; one or more of said different occurrence mitigation actions, after a user selection, is automatically applied at a later time; one or more of said different occurrence mitigation actions puts a policy in place for being utilized at a later time **(Villa: column 4, lines 33-50, column 11, lines 30-50 and column 12, lines 30-67)**; one or more of said different occurrence mitigation actions, after an automatic application thereof, is utilized at a later time for the occurrence mitigation **(Villa: column 4, lines 33-50, column 12, lines 30-67)**; and wherein the instructions are configured for use with at least one NOC server, a data warehouse, and an SDK for allowing access to information associated with at least one vulnerability and at least one remediation, and wherein the instructions are configured for determining which devices have vulnerabilities by directly querying a firmware or operating system of the devices **(Cole: column 17, lines 25-45)**.

Cole in view of Cohen and Villa does not explicitly teach: one of said different occurrence mitigation actions of the other occurrence mitigation type utilizes an

intrusion prevention system to deploy a patch; one of said different occurrence mitigation actions of the firewall-based occurrence mitigation type utilizes a firewall to deploy a patch utilizing an update component. However, Banzhof teaches:

one of said different occurrence mitigation actions of the other occurrence mitigation type utilizes an intrusion prevention system to deploy a patch; one of said different occurrence mitigation actions of the firewall-based occurrence mitigation type utilizes a firewall to deploy a patch utilizing an update component **(Banzhof: [0020]: patch installation)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Cole in view of Cohen and Villa to include one of said different occurrence mitigation actions of the intrusion prevention system-based occurrence mitigation type utilizes an intrusion prevention system to deploy a patch; one of said different occurrence mitigation actions of the firewall-based occurrence mitigation type utilizes a firewall to deploy a patch utilizing an update component. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

## ***Conclusion***

20. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

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

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

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on (571)272-3787. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should

you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MADHURI R. HERZOG
Primary Examiner
Art Unit 2438

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

| Notice of References Cited | Application/Control No. 15/608,981 | Applicant(s)/Patent Under Reexamination Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | Page 1 of 1 |

**U.S. PATENT DOCUMENTS**

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Name | CPC Classification | US Classification |
|---|---|---|---|---|---|---|
| * | A | US-6550012-B1 | 04-2003 | Villa; Emilio | H04L63/0218 | 713/168 |
| | B | | | | | |
| | C | | | | | |
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**FOREIGN PATENT DOCUMENTS**

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**NON-PATENT DOCUMENTS**

| * | | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
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| | U | |
| | V | |
| | W | |
| | X | |

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | Examiner | Art Unit |
| | MADHURI R HERZOG | 2438 |

| CPC - Searched* | | |
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| Symbol | Date | Examiner |
| H04L 63/02$, 63/14$, 63/20$ | 10/31/2018 | M.H |
| G06F 21/5$ | 10/31/2018 | M.H |

| CPC Combination Sets - Searched* | | |
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| US Classification - Searched* | | | |
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| Class | Subclass | Date | Examiner |
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* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

| Search Notes | | |
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| Search Notes | Date | Examiner |
| Inventor search, Assignee search | 10/31/2018 | M.H |
| East search | 10/31/2018 | M.H |

| Interference Search | | | |
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| US Class/CPC Symbol | US Subclass/CPC Group | Date | Examiner |
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| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
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| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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| = | Allowed | ÷ | Restricted | I | Interference | O | Objected |

**CLAIMS**

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

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | | | | | | | |
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| | 15 | - | - | | | | | | | |
| | 16 | - | - | | | | | | | |
| | 17 | - | - | | | | | | | |
| | 18 | - | - | | | | | | | |
| | 19 | - | - | | | | | | | |
| | 20 | - | - | | | | | | | |
| | 21 | ✓ | ✓ | | | | | | | |
| | 22 | ✓ | ✓ | | | | | | | |
| | 23 | ✓ | ✓ | | | | | | | |
| | 24 | ✓ | ✓ | | | | | | | |
| | 25 | ✓ | ✓ | | | | | | | |
| | 26 | ✓ | ✓ | | | | | | | |
| | 27 | ✓ | ✓ | | | | | | | |
| | 28 | ✓ | ✓ | | | | | | | |
| | 29 | ✓ | ✓ | | | | | | | |
| | 30 | ✓ | ✓ | | | | | | | |
| | 31 | ✓ | ✓ | | | | | | | |
| | 32 | ✓ | ✓ | | | | | | | |
| | 33 | ✓ | ✓ | | | | | | | |
| | 34 | ✓ | ✓ | | | | | | | |
| | 35 | ✓ | ✓ | | | | | | | |
| | 36 | ✓ | ✓ | | | | | | | |
| | 37 | ✓ | ✓ | | | | | | | |
| | 38 | ✓ | ✓ | | | | | | | |
| | 39 | ✓ | ✓ | | | | | | | |
| | 40 | ✓ | ✓ | | | | | | | |
| | 41 | ✓ | ✓ | | | | | | | |
| | 42 | ✓ | ✓ | | | | | | | |

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | | | | | | | |
| | 43 | ✓ | ✓ | | | | | | | |
| | 44 | ✓ | ✓ | | | | | | | |
| | 45 | ✓ | ✓ | | | | | | | |
| | 46 | ✓ | ✓ | | | | | | | |
| | 47 | ✓ | - | | | | | | | |
| | 48 | | ✓ | | | | | | | |
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**EAST Search History**

**EAST Search History (Prior Art)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
|---|---|---|---|---|---|---|
| S17 | 72 | (choos$4 or select$4 or pick$4 or designat$4 or inform or informing) with firewall with vulnerabilit$4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/10/26 12:51 |
| S18 | 72 | (choos$4 or select$4 or pick$4 or designat$4 or inform or informing) with firewall with vulnerabilit$4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/10/30 11:52 |
| S19 | 59 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and S18 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2018/10/30 11:52 |

**EAST Search History (Interference)**

< This search history is empty>

**10/ 31/ 2018 9:10:33 AM**
**C:\ Users\ mherzog\ Documents\ EAST\ Workspaces\ App15608978.wsp**



Forcepoint LLC
EX-1002
Page 263

| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney Docket No. SP1P012D | Application No. 15/608,981 |
|---|---|---|---|
| **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b)) | | Inventor Brett M. Oliphant | Confirmation Number 9076 |
| | | Filing Date 05/30/2017 | Group Art Unit 2438 |

**U.S. Patent Documents**

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

**Foreign Patent Documents or Published Foreign Patent Applications**

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

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

| Examiner Initial | Desig. ID | Document |
|---|---|---|
| | A | Action Summary for US Pat Appl No 14834102 dated 08/24/2918 |
| | B | Action Summary for US Pat Appl No 15608978 dated 11-05-2018 |
| | C | Action Summary for US Pat Appl No 15608983 dated 09-11-2018 |
| | | |

| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney Docket No. SP1P012D | Application No. 15/608,981 |
|---|---|---|---|
| **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b)) | | Inventor Brett M. Oliphant | Confirmation Number 9076 |
| | | Filing Date 05/30/2017 | Group Art Unit 2438 |

## 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).

☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed _____ and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

☐ 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 | | Date (YYYY-MM-DD) | |
|---|---|---|---|
| Name/Print | Brian Owens | Registration Number | 55517 |

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

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

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Miscellaneous:** | | | | |
| SUBMISSION- INFORMATION DISCLOSURE STMT | 2806 | 1 | 120 | 120 |
| | | **Total in USD ($)** | | **120** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 34315031 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 14-NOV-2018 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 21:38:53 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $120 |
| RAM confirmation Number | 111518INTEFSW21393600 |
| 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 | Transmittal Letter | SP1P012D_IDS_XMTL_vF_14-Nov-2018.pdf | 55671<br>de1ad196b05b7e929dbc5fe5913cd744e4e2c099 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Information Disclosure Statement (IDS) Form (SB08) | SP1P012D_IDS_1449_vF_14-Nov-2018.pdf | 56651<br>78965e7466632930559bc711ee05ad7578895963 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| This is not an USPTO supplied IDS fillable form | | | | | |
| 3 | Non Patent Literature | NPL_20181113.pdf | 93813<br>7f204f0742d0c8a3b0727234a8f398b6f5d74999 | no | 8 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 4 | Fee Worksheet (SB06) | fee-info.pdf | 30455<br>9f3ef6354185782c9297200d70eb7e6515d4699a | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 236590 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: Madhuri R HERZOG |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 2017-05-30 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: Nov 14, 2018 |

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

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

Examiner:

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

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.

Additionally, related patent US8266699, is the subject of inter partes review (IPR No. 2017-02191), where a request for adverse judgment was recently filed in such IPR No. 2017-02191 due to Claim 7 being disclaimed from related patent US8266699.

This Information Disclosure Statement is being filed after the mailing date of a final Office Action. Accordingly, applicants are including payment in the amount of $120.00 for the fee due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any additional fees are due, the Commissioner is hereby authorized to charge such fees or credit any overpayment to Deposit Account 50-4964 (Order No. SP1P012D).

Respectfully submitted,



Dated: 14 Nov 2018

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

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

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

| | |
|---|---|
| Electronic Petition Request | **TERMINAL DISCLAIMER TO OBVIATE A PROVISIONAL DOUBLE PATENTING REJECTION OVER A PENDING "REFERENCE" APPLICATION** |
| Application Number | 15608981 |
| Filing Date | 30-May-2017 |
| First Named Inventor | Brett Oliphant |
| Attorney Docket Number | SP1P012D |
| 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)

15608978 filed on 05/30/2017

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.

◯ 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. | |
| THIS PORTION MUST BE COMPLETED BY THE SIGNATORY OR SIGNATORIES<br>I certify, in accordance with 37 CFR 1.4(d)(4) that I am:<br>◉ An attorney or agent registered to practice before the Patent and Trademark Office who is of record in this application<br>Registration Number 44580<br>◯ A sole inventor<br>◯ 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<br>◯ A joint inventor; all of whom are signing this request | |
| Signature | /Patrick Caldwell/ |
| Name | Patrick Caldwell |

*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.

Doc Code: DISQ.E.FILE
Document Description: Electronic Terminal Disclaimer – Approved

Application No.: 15608981

Filing Date: 30-May-2017

Applicant/Patent under Reexamination: Oliphant

Electronic Terminal Disclaimer filed on February 21, 2019

☒ 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:** | 35219734 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 21-FEB-2019 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 22:28:55 |
| **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 | Terminal Disclaimer-Filed (Electronic) | eTerminal-Disclaimer.pdf | 32466<br>0b0485cd247b5eacdda4d634720989d180c1fdf9 | no | 2 |

**Warnings:**

| Information: | |
|---|---|
| Total Files Size (in bytes): | 32466 |

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

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Application Number | 15608981 | Filing Date | 2017-05-30 | Docket Number (if applicable) | SP1P012D | Art Unit | 2438 |
| First Named Inventor | Brett M. Oliphant | | | Examiner Name | HERZOG, MADHURI R | | |

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

### SUBMISSION REQUIRED UNDER 37 CFR 1.114

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

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

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

☐ Other _____

☒ Enclosed

☒ Amendment/Reply

☐ Information Disclosure Statement (IDS)

☒ Affidavit(s)/ Declaration(s)

☐ Other _____

### MISCELLANEOUS

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

☐ Other _____

### FEES

☒ **The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No 504964

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

X Patent Practitioner Signature

Applicant Signature

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| Signature of Registered U.S. Patent Practitioner | | | |
|---|---|---|---|
| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2019-02-21 |
| Name | Patrick Caldwell | Registration Number | 44580 |

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

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

# Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | |

**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 October 1, 2002 (the earliest effective date of US 20050193430 to Cohen, 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 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 September 27, 2002, as a business record created in the ordinary course of business. The metadata in the electronic document reflects this date.

5. A working version of a system implementing the Claimed Invention was implemented before the Reference Date. Annex A reflects a system that was actually operational as of September 27, 2002, which is not antedated by the Reference Date.

7. As evidenced in Annex B, the Claimed Invention was conceived of and actually reduced to practice before Reference Date.

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

John Bligh Blignaut

2.20.2019
Date

# *Anti-Vulnerability™*

# *Software Development Kit (SDK)*

*White Paper*

*Version 1.0*

*The Intelligent Network Security Integration Platform*

PATENT OWNER EXHIBIT
2014

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## Executive Summary

### 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.

### 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 maintained 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 targeted by the threat.** The vulnerability targeted by the threat is attained by the point products and the CVE ID or other identifier 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.



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4. **Remediates the vulnerability.** Once a vulnerability is identified, a remediation functionality is provided that may 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 SDK

Functionalities that may be integrated into point products with the SDK:

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 SDK User's Guide.

## SDK Applications - Example Product Integration

Examples of additional functionalities that may be integrated into point products via the SDK for enterprise and small office home office (SOHO) networks:

1. Patch Deployment – Remotely remediates network vulnerabilities and provides policy compliance and enforcement capabilities. See SecurityProfiling's SysUpdate white paper and trial download online.
2. IDS –Eliminates false positive 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 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. 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.



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## Components

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

## 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
- Linksys network devices
- Netgear network devices
- Toshiba network devices

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



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## 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.

A product architect simply chooses the functionality desired, inserts the provided functionality SDK sample code into the product code. (Detailed in a separate document, titled: *SDK User's Guide*.) The SDK sample 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.

Hence, the SDK 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 SDK 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.

Insert Diagram 1 – SDK and Platform Overview Diagram

For more detail, see the Platform component Diagram on page x, and the Platform Query Functionality Diagram on page y.



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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 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 malicious code and their variants, and do not identify and remediate the specific network vulnerabilities the code is targeting. So each code, 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, 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 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 point products to share information
2. Provide system intelligence.
3. Remediate network vulnerabilities.



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## Solution

*SecurityProfiling* now offers an intelligent integration platform and SDK — the first Anti-Vulnerability technology to meet market requirements. The SDK and Anti-Vulnerability 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's enables point products to share information via its proprietary **logic engine** automatically cross-references the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Accuracy and efficiencies are realized, and the need to layer more and more point products is reduced. Subsequently, the costs to acquire, operate, and manage the additional multiple point products are also reduced.

The platform will also remotely 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.

Insert Diagram 2 – SDK and Platform Component Diagram

## Features & Benefits

**Features:**

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

1. **Integrates point products 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 vulnerability targeted by the threat is attained by the point products and the CVE ID or other identifier 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. **Remediates the vulnerability.** Once a vulnerability is identified, a remediation functionality is provided that may automatically deploy the



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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 — Functional Description.

**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 Platforms subsection for more details

- Minimize development time - speed to market

  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 sample 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.



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The SDK integrates functionalities that return answers to the functional queries to 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 added vulnerability 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 positive, 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 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 processes and interfaces are virtually unaffected.



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## Functional Description

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

The functionalities access the platform with queries to generate the desired answers. Below is how the queries flow through the platform.

Insert Diagram 3 – Functionality Query Flow Chart

An overview of the functions that may be integrated via the SDK is provided below. The functions are presented in groups, and a full listing with parameters and returned answer format is presented in Appendix I. More detail, and step-by-step integration procedures are presented in the SDK 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. **DeleteGroup** –This function removes a group.

d. **GetGroupPolicy** –This function returns the policy for a group

e. **SetGroupPolicy** –This functions sets a new policy for a group



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**f. GetClientsInGroup** –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 information 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.

**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 SysUpdate 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 update 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.



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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 OnSite Server is in the process of polling clients.

**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.



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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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## SDK Applications - Example Product Integration

This section provides examples of SDK applications, and their benefits, when the functionalities from the previous section are integrated into specific 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 is available online that demonstrate its functionalities and benefits.

Benefits:

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

With the SDK, 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.

### 2. IDS

IDS products attempt to identify malicious code by signatures at both the network and host client level based. 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? Lastly, if so, the targeted vulnerability remains unremediated – the IDS system can not remediate it.

Benefits:

With the SDK, a product architect can integrate functionalities listed in the previous secti on 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, the code is identified as a false positive, no further data or alert is generated, and a management response is not required.

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



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**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 SDK, 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 SDK 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 IDS products described above.

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.

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 SDK 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.

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

**6. Multiple Products: IDS, Scanner, and Firewall**

Each product functions as the individual products noted above. Each may be deployed and operate 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 SDK and platform, 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.



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## 7. Client Security

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

With the SDK 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.



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## Technical Description

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 on-site server polls each client agent and the configuration data is transferred back to the server. The logic engine determines and deploys the appropriate updates to each machine. (More detail of this process is provided in the next sub-section, – Logic Engine.)

#### *Installs the Updates*

There, 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.

| | | |
|---|---|---|
| Client Agent Component | Application size: | The client agent is about 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 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.

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.



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## Data Warehouse

This component has five 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.

### *Client Agent Polling*

The client agents are periodically polled for client configuration dataa. 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 on an hourly basis, 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 synchronizes with the latest vulnerabilities and updates. These files are sent in an AES-encrypted format.



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| 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[SM] NOC servers' database and periodically distributed to the customer's site.

### System Requirements

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

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

The platform is compatible with any machines or device:

- Windows
- All UNIX variants
- Cisco routers and firewalls
- Linksys network devices
- Netgear network devices
- Toshiba network devices



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## Conclusion

The Anti-Vulnerability platform and SDK 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 SDK improves network security and integrity, better mitigating blended threats, while increasing productivity, saving time and money, and more effectively and efficiently attaining policy compliance and enforcement requirements.

## Appendix I – Integration Functionalities, by Group

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

**Group Management Functions**
**Client Management Functions**
**Hot Fix Management Functions**
**Polling Functions**
**Vulnerability Query Functions**
**Conversion Functions**

### 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.
- **DeleteGroup** – 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
- **SetGroupPolicy** – 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
  Description: This function retrieves a list of clients that are members of a specific 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.

### Client Management Functions

- **GetClientHardwareStats** – Parameters: CLIENT structure to get information from.



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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
- **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.
- **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.
- **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 SysUpdate 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.

**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.



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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.
- **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



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- **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.

**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.

**Vulnerability Query Functions**

- **QueryVulnerabilityByCveID** – Parameters: CLIENT structure to get information from, CVEID structure to 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 a particular MS id.

- **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.

**Conversion Functions**



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- **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.
- **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: BUGTRAQID Structure corresponding to an MS id
  Description: This function converts an MS id to a corresponding Bugtraq id.
- **BugtraqID2CveID** – 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.
- **BugtraqID2QID** – 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.
- **BugtraqID2MSID** – 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.

Financial benefits were core considerations in the design and implementation of SysUpdate[TM]. The goal is to maximize value and minimize cost.

The cost of manually updating each server and workstation with existing technologies is indeed prohibitive, as demonstrated by the process and associated costs shown in Figure 14, below.



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## Appendix V – About SecurityProfiling

# *About SecurityProfiling*

Founded in 1998, *SecurityProfiling* has developed into a nationally recognized leader in network computer security and software application development. Initially specializing in risk assessments, network architecture development, and forensic work, *SecurityProfiling* has evolved into the world-class network software innovator it is today. Realizing the need for a truly effective and automated software update management application, *SecurityProfiling* has developed and implemented SysUpdate™, a nationally recognized product — the first Anti-Vulnerability™ technology.

Utilizing the revolutionary automation processes that was developed for SysUpdate™, *SecurityProfiling* then developed LogBoss™, a comprehensive network log manager that allows administrators to manage, archive, query, and report all network logs.

Below is a list of *SecurityProfiling's* products and services.

***Risk Assessment:*** A comprehensive security audit of an organization's network infrastructure, followed by a detailed prioritized report of all vulnerabilities that also includes understandable recommendations to solve these issues.

***SysUpdate™:*** A new and revolutionary product that not only provides any organization a higher level of security, but also saves time for administrators. This product automatically installs and upgrades "hotfixes", security patches, and service packs, while also providing excellent centralized reporting and auditing capabilities.

***LogBoss™:*** A secure, easy to use network log manager offering fully automated archiving, cross-querying, and reporting for all network logs, (security, application, & system)… no matter how large or how complex the network. With LogBoss™, administrators will now know what has happened on their network, regardless of the type of event or when it occurred. LogBoss™ also helps comply with HIPAA, GLBA, and ISO 9001 standards.

***Emergency Response Expertise:*** In the unfortunate event of a security compromise, *SecurityProfiling* can assist in recovery and evidence procurement, minimizing company downtime and expense.

***IDS (Intrusion Detection System):*** Provides a "port hole" view to the security of an organization's infrastructure. With IDS, policy & reporting actions are essential to the effectiveness of the system. *SecurityProfiling* fills this gap by consulting with key security personnel to implement 'Policy to Procedure' actions for the IDS infrastructure.

***Computer Forensics:*** *SecurityProfiling's* excellent reputation is often called upon to assist both law enforcement and private industry to determine exactly the problems encountered, retrieve data, identify culprits, and provide expert witness testimony.

***Wireless Security Consulting:*** Wireless technology is inherently vulnerable to compromise. With assistance from SecurityProfiling, an organization can receive the benefits of wireless technology without sacrificing security.



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***Staff Security Training:*** Computer security training is the only long-term solution to truly protect any organization. Training personnel on relevant security issues raises awareness, prevents security mistakes, and empowers the organization, and such policy is a requirement mandated by HIPAA and GLBA.

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




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| Field | Content |
|---|---|
| PRODBEG | SCP0052200 |
| PRODEND | SCP0052230 |
| PRODBEGATT | SCP0052200 |
| PRODENDATT | SCP0052230 |
| ATTRANGE | SCP0052200-SCP0052230 |
| ATTACHCOUNT | |
| ATTACHMENTS | |
| PRODVOLUME | |
| REVIEWBEGDOC | |
| CUSTODIAN | |
| ALLCUSTODIAN | |
| AUTHOR | John Blignaut |
| FROM | |
| TO | |
| CC | |
| BCC | |
| SORTDATE | 00/00/0000 |
| SORTTIME | |
| SENTDATE | 00/00/0000 |
| SENTTIME | |
| RECEIVEDDATE | 00/00/0000 |
| RECEIVEDTIME | |
| MODDATE | 09/27/2002 |
| MODTIME | 07:46 PM |
| DATECREATED | 09/26/2002 |
| TIMECREATED | 12:03 PM |
| PAGECOUNT | |
| SUBJECT | |
| DOCTYPE | |
| FILETYPE | |
| DOCTITLE | Contemporary Report |
| MD5HASH | D7EB44DE5BBA557C3010445F68477074 |
| GROUPMD5HASH | |
| FILENAME | SDK Paper v1.0 9.27.02.doc |
| FILESIZE | 223744 |
| FILEEXT | doc |
| ORIGFOLDER | |
| ORIGLOCATION | Discovery - SP Doc Production\SDK - Not Confidential\SDK Pap... |
| CONVID | |
| IMPORTANCE | |

ANNEX B

| **Application No.: 15/608,981** | **Excerpts from Annex A** |
|---|---|
| 21. A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to:<br><br>receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: | See excerpt(s) below and/or other related disclosures in Annex A:<br><br>*About SecurityProfiling*<br><br>Founded in 1998, *SecurityProfiling* has developed into a nationally recognized leader in network computer security and software application development. Initially specializing in risk assessments, network architecture development, and forensic work, *SecurityProfiling* has evolved into the world-class network software innovator it is today. Realizing the need for a truly effective and automated software update management application, *SecurityProfiling* has developed and implemented SysUpdate™, a nationally recognized product — the first Anti-Vulnerability™ technology.<br><br>Utilizing the revolutionary automation processes that was developed for SysUpdate™, *SecurityProfiling* then developed LogBoss™, a comprehensive network log manager that allows administrators to manage, archive, query, and report all network logs.<br><br>Below is a list of *SecurityProfiling*'s products and services.<br><br>***Risk Assessment:*** A comprehensive security audit of an organization's network infrastructure, followed by a detailed prioritized report of all vulnerabilities that also includes understandable recommendations to solve these issues.<br><br>***SysUpdate™:*** A new and revolutionary product that not only provides any organization a higher level of security, but also saves time for administrators. This product automatically installs and upgrades "hotfixes", security patches, and service packs, while also providing excellent centralized reporting and auditing capabilities.<br><br>***LogBoss™:*** A secure, easy to use network log manager offering fully automated archiving, cross-querying, and reporting for all network logs, (security, application, & system)… no matter how large or how complex the network. With LogBoss™, administrators will now know what has happened on their network, regardless of the type of event or when it occurred. LogBoss™ also helps comply with HIPAA, GLBA, and ISO 9001 standards.<br><br>***Emergency Response Expertise:*** In the unfortunate event of a security compromise, *SecurityProfiling* can assist in recovery and evidence procurement, minimizing company downtime and expense.<br><br>***IDS (Intrusion Detection System):*** Provides a "port hole" view to the security of an organization's infrastructure. With IDS, policy & reporting actions are essential to the effectiveness of the system. *SecurityProfiling* fills this gap by consulting with key security personnel to implement 'Policy to Procedure' actions for the IDS infrastructure.<br><br>***Computer Forensics:*** *SecurityProfiling*'s excellent reputation is often called upon to assist both law enforcement and private industry to determine exactly the problems encountered, retrieve data, identify culprits, and provide expert witness testimony.<br><br>***Wireless Security Consulting:*** Wireless technology is inherently vulnerable to compromise. With assistance from SecurityProfiling, an organization can receive the benefits of wireless technology without sacrificing security.<br><br>Page 29 of Annex A. |

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| at least one first potential vulnerability, and<br><br>at least one second potential vulnerability; | **Components**<br>The Anti-Vulnerability platform is comprised of the platform software components: SDK, Client Agent, Logic Engine, and Data Warehouse. Network Operations Center (NOC) Servers periodically synchronize the customer's servers with the latest vulnerability and update data. Please reference the Platform component Diagram on page x.<br><br>Page 5 of Annex A.<br><br>**Data Warehouse**<br>This component has five primary functions:<br><br>1. For vulnerability remediation functionalities, periodically polls the clients for configuration data.<br>2. Maintains the vulnerability database.<br>3. Maintains the update database.<br>4. Periodically polls the NOC server, and receives updates.<br><br>***Client Agent Polling***<br>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.<br><br>***Vulnerability Database***<br>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.<br><br>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.<br><br>***Update Database***<br>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.<br><br>***NOC Server Polling***<br>The NOC servers are polled on an hourly basis, 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 synchronizes with the latest vulnerabilities and updates. These files are sent in an AES-encrypted format.<br><br>Page 21 of Annex A.<br><br>**Network Operations Center (NOC) Servers**<br>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.<br><br>Page 22 of Annex A. |

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| said first vulnerability information generated utilizing the second vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device, and determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential | **Functional Description**<br>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.<br>2. **Cross-references the vulnerability targeted by the threat.** The vulnerability targeted by the threat is attained by the point products and the CVE ID or other identifier 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.<br>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.<br>Page 3 of Annex A.<br><br>The platform's enables point products to share information via its proprietary **logic engine** automatically cross-references the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Accuracy and efficiencies are realized, and the need to layer more and more point products is reduced. Subsequently, the costs to acquire, operate, and manage the additional multiple point products are also reduced.<br><br>The platform will also remotely 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.<br><br>Page 9 of Annex A.<br><br>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? Lastly, if so, the targeted vulnerability remains unremediated – the IDS system can not remediate it.<br><br>Page 16 of Annex A. |

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| vulnerabilities; | **Client Agent**<br>The agent is remotely deployed to each machine or device on the network, and has two primary functions.<br><br>1. Accurately identifies the OS, applications, firmware, and updates installed on each machine or device.<br><br>2. Installs the updates.<br><br>***Identifies Applications Installed***<br>The client agent accurately identifies and inventories the operating system, applications, and updates installed on each machine. Periodically, the on-site server polls each client agent and the configuration data is transferred back to the server. The logic engine determines and deploys the appropriate updates to each machine. (More detail of this process is provided in the next sub-section, – Logic Engine.)<br><br>Page 19 of Annex A.<br><br>***Logic Engine***<br>The logic engine, or system intelligence, cross references the vulnerability the threat is targeting and the targeted machine or device vulnerabilities through the data warehouse, and returns the answer to the point product.<br><br>It also determines which updates are needed and compatible with each machine's configuration.<br><br>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.<br><br>Page 21 of Annex A. |
| identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is | **Functional Description**<br>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.<br><br>2. **Cross-references the vulnerability targeted by the threat.** The vulnerability targeted by the threat is attained by the point products and the CVE ID or other identifier 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.<br><br>Page 3 of Annex A. |

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| susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and | The platform's enables point products to share information via its proprietary **logic engine** automatically cross-references the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Accuracy and efficiencies are realized, and the need to layer more and more point products is reduced. Subsequently, the costs to acquire, operate, and manage the additional multiple point products are also reduced.<br><br>The platform will also remotely 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.<br><br>Page 9 of Annex A.<br><br>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? Lastly, if so, the targeted vulnerability remains unremediated – the IDS system can not remediate it.<br><br>Page 16 of Annex A.<br><br>***Logic Engine***<br>The logic engine, or system intelligence, cross references the vulnerability the threat is targeting and the targeted machine or device vulnerabilities through the data warehouse, and returns the answer to the point product.<br><br>It also determines which updates are needed and compatible with each machine's configuration.<br><br>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.<br><br>Page 20 of Annex A. |

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| | **System Requirements**<br>There are two system requirements: TCP/IP connectivity, and supported network n and devices. Platforms supported are:<br>• All Windows Operating Systems and their applications<br>• All UNIX variants<br>• Cisco routers and firewalls<br>• Linksys network devices<br>• Netgear network devices<br>• Toshiba network devices<br>Platform support is scalable to any network size or architecture; consumer, small offi office (SOHO), enterprise, and distributed networks.<br>**What is the SDK and Anti-Vulnerability Platform ?**<br>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.<br>A product architect simply chooses the functionality desired, inserts the provided functionality SDK sample code into the product code. (Detailed in a separate document, titled: *SDK User's Guide*.) The SDK sample 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.<br>Hence, the SDK 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.<br>Furthermore, the SDK 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.<br>Page 5-6 of Annex A.<br>See also the functions on pages 12-15 of Annex A. |

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| permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices; | **What is the SDK and Anti-Vulnerability Platform?**<br>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.<br><br>Page 3 of Annex A.<br><br>**SDK Applications - Example Product Integration**<br>Examples of additional functionalities that may be integrated into point products via the SDK for enterprise and small office home office (SOHO) networks:<br><br>1. Patch Deployment – Remotely remediates network vulnerabilities and provides policy compliance and enforcement capabilities. See SecurityProfiling's SysUpdate white paper and trial download online.<br><br>2. IDS –Eliminates false positive and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities.<br><br>3. Scanner - Eliminates false positive and false negatives, and adds vulnerability remediation and policy compliance and enforcement functionalities.<br><br>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.<br><br>5. Vulnerability Management – Same as 1., above.<br><br>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.<br><br>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.<br><br>Page 4 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.

A product architect simply chooses the functionality desired, inserts the provided functionality SDK sample code into the product code. (Detailed in a separate document, titled: *SDK User's Guide*.) The SDK sample 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.

Hence, the SDK 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 SDK 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.

Pages 5-6 of Annex A.

### 2. IDS

IDS products attempt to identify malicious code by signatures at both the network and host client level based. 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? Lastly, if so, the targeted vulnerability remains unremediated – the IDS system can not 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.

Now, if no machines were susceptible to the attack, the code is identified as a false positive, no further data or alert is generated, and a management response is not required.

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

Page 16 of Annex A.

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| | **4. Firewall**<br><br>"Smart" firewalls are based in part on signatures and other similar functionalities as IDS products described above.<br><br>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.<br><br>Such functionalities and benefits are available for both the enterprise and SOHO networks.<br><br>**5. Vulnerability Management**<br><br>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.<br><br>Benefits:<br><br>The SDK 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.<br><br>Such functionalities and benefits are available for both the enterprise and SOHO networks.<br><br>**6. Multiple Products: IDS, Scanner, and Firewall**<br><br>Each product functions as the individual products noted above. Each may be deployed and operate 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.<br><br>Benefits:<br><br>With the SDK and platform, 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.<br><br>Page 17 of Annex A. |
| wherein the at least one configuration involves at least one operating system. | **Functional Description**<br><br>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.<br><br>2. **Cross-references the vulnerability targeted by the threat.** The vulnerability targeted by the threat is attained by the point products and the CVE ID or other identifier 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.<br><br>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.<br><br>Page 3 of Annex A. |

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| | The platform's enables point products to share information via its proprietary **logic engine** automatically cross-references the vulnerability the threat is targeting with the targeted machine or device to determine if it is vulnerable to that threat. Accuracy and efficiencies are realized, and the need to layer more and more point products is reduced. Subsequently, the costs to acquire, operate, and manage the additional multiple point products are also reduced.<br><br>The platform will also remotely 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.<br><br>Page 9 of Annex A.<br><br>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? Lastly, if so, the targeted vulnerability remains unremediated – the IDS system can not remediate it.<br><br>Page 16 of Annex A.<br><br>**Client Agent**<br>The agent is remotely deployed to each machine or device on the network, and has two primary functions.<br><br>1. Accurately identifies the OS, applications, firmware, and updates installed on each machine or device.<br><br>2. Installs the updates.<br><br>***Identifies Applications Installed***<br>The client agent accurately identifies and inventories the operating system, applications, and updates installed on each machine. Periodically, the on-site server polls each client agent and the configuration data is transferred back to the server. The logic engine determines and deploys the appropriate updates to each machine. (More detail of this process is provided in the next sub-section, – Logic Engine.)<br><br>Page 19 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. |

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

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

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| Extension - 1 month with $0 paid | 2251 | 1 | 100 | 100 |
| **Miscellaneous:** | | | | |
| RCE- 1ST REQUEST | 2801 | 1 | 650 | 650 |
| STATUTORY OR TERMINAL DISCLAIMER | 2814 | 1 | 160 | 160 |
| | | **Total in USD ($)** | | **910** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 35219727 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 21-FEB-2019 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 22:25:21 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $910 |
| RAM confirmation Number | 022219INTEFSW22255800 |
| Deposit Account | |
| Authorized User | |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: | |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Request for Continued Examination (RCE) | SP1P012D_RCE_vF_21-Feb-2019.pdf | 1349608<br>2e59fc5e2b37c1eb7f6331402a1410eb2543a023 | no | 3 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Amendment Submitted/Entered with Filing of CPA/RCE | SP1P012D_AmendmentB_RCE_vF_21-Feb-2019.pdf | 133352<br>ff595ee82829299f842509468a38439b22f5d275 | no | 23 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | Affidavit-Rule 131-pre-AIA (FTI) ONLY | SP1P0012D_Affidavit_02_2019_JB.pdf | 705174<br>57b6bf085a604a8d736bc56ae6fda5fbfd2e1fe2 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 4 | Examination support document | Annex_A.pdf | 3736204<br>1fa392ba0b9a3c952fe4757181b10c52ad41ad62 | no | 32 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 5 | Examination support document | SP1P012D_Annex_B.pdf | 3328421<br>ebac02d09e4253ace4aa50572e0a9163c3a1c05a | no | 10 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 6 | Fee Worksheet (SB06) | fee-info.pdf | 34026<br>c1bd94dc97853eded60ac3e0b2c18a634961a25e | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |

| Total Files Size (in bytes): | 9286785 |
|---|---|

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: February 21, 2019 |

**AMENDMENT B**
**AND**
**REQUEST FOR CONTINUED EXAMINATION**

Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1
450

Examiner:

In response to the Office Action mailed 11/05/18, please enter the following amendments.



Forcepoint LLC
EX-1002
Page 330

**Amendments to the Claims:**

1-.20. (Cancelled)

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

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

at least one first potential vulnerability, and

at least one second potential vulnerability;

said first vulnerability information generated utilizing the second vulnerability information, by:

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

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

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

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

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

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

22. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality.

23. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device.

24. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only relevant vulnerabilities prompt user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith.

25. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user.

26. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability.

27. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user-selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence.

28. (Previously Presented) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being supplemented by the second occurrence mitigation action of the other occurrence mitigation type at the first device.

29. (Previously Presented) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device.

30. (Previously Presented) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence mitigation type.

31. (Previously Presented) The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device.

32. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other occurrence mitigation type including at least one of setting the

configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action.

33. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options.

34. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

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

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

35. (Previously Presented) The non-transitory computer-readable media of Claim 34, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality.

36. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences.

37. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

38. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence

packet to determine whether a first actual vulnerability of the first device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one first occurrence packet, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one second occurrence packet; and the permitting the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device.

39. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is permitted, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is permitted.

40. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence.

41. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively permitted at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence.

42. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability.

43. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

44. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

receive a first user input;

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

receive a second user input; and

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

45. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type.

46. (Previously Presented) The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type.

47. (Cancelled)

48. (Previously Presented) The non-transitory computer-readable media of Claim 38, wherein the instructions are configured such that at least one of:

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

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

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

said second vulnerability information includes accurately identified vulnerability information;

said second vulnerability information includes actual vulnerability information;

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

said first vulnerability information includes potential vulnerability information;

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

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

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

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

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

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

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

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

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

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

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

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

said actual vulnerabilities include the at least one actual vulnerability;

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

and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system;

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

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

said different occurrence mitigation actions include different remediation actions;

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

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

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

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

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

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



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said automatic response includes a real-time response.

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

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

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

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

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

said first vulnerability information identifies at least one actual vulnerability;

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

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

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

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

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

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

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

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

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

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

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

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

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

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



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mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices;

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

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

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

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

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

said different occurrence mitigation actions include different remediation actions;

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

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



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

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

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

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

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

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

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

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

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

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

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

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

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

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

receive a first user input;

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

receive a second user input; and

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



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**Remarks:**

The Examiner has objected to the claims due to a mis-numbering issue. The claims have been presented above with proper numbering.

Claims 21-46, 48-53 are provisionally rejected on the ground of non-statutory double patenting as being unpatentable over claims 21-24 and 26-58 of co-pending Application No. 15/608,978. Such rejection is deemed avoided by virtue of the terminal disclaimer filed concurrently herewith.

Claim 21 is rejected under 35 U.S.C. 112(B) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention. Specifically, the Examiner points out that Claim 21 has been amended to recite first vulnerability information and second vulnerability information, and that the claim also recites actual vulnerability and potential vulnerability, but then alleges that it is unclear whether these phrases are the same as first and second vulnerabilities or different.

Applicant respectfully disagrees with this rejection. The claims specifically set forth the relationship between the "first vulnerability **information**", the "second vulnerability **information**", the "plurality of **potential vulnerabilities**", and/or the "at least one **actual vulnerability**" (emphasis added). Just by way of example, Claim 21 states that the "second vulnerability **information** … is used to identify a plurality of **potential vulnerabilities**" and the "**first** vulnerability **information** generated utilizing the **second** vulnerability **information**, by: … determining that the plurality of devices is actually vulnerable to at least one **actual vulnerability** (emphasis added), in the specific context claimed. Thus, it is clear from the claims as to the relationship between the relevent terms.



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The Examiner goes on to argue that the specifications do not cite determining whether a device is vulnerable based on potential vulnerabilities. The Examiner alleges that the phrase "potential" indicates that a vulnerability has the potential to [be] a vulnerability but [is] not guaranteed to be a vulnerability. The Examiner further alleges that the specifications show support for determining that a device is vulnerable to a vulnerability based on vulnerabilities shared amongst various device but does not show proper support for determining that a device is vulnerable to a vulnerability based on "potential vulnerabilities".

Applicant respectfully disagrees with this rejection. As mentioned earlier, the specifications disclose that "a product architect can integrate functionalities listed in the previous section to enable the scanner to access the logic engine and platform, and then have the intelligence to determine if the machine has **actual vulnerabilities**, remediate them, and verify policy compliance" (emphasis added). In order to identify such "**actual**" vulnerabilities, the specifications disclose that "the platform enables network security products to share information via its proprietary logic engine to automatically **cross-reference the threat identifier with the targeted machine's configuration to determine if it is actually vulnerable to that threat**" and further discloses that "**it may cross-reference the threat's identifier with the target's configuration**. The **threat's CVE** [Common Vulnerabilities and Exposures] **ID, or other identifier**, and the destination IP address are fed into the logic engine **where it cross-references the threat with the machine's existing OS, application, and patch configuration profile**. **An answer is returned accurately indicating if the machine is vulnerable.**" (emphasis added).

Thus, the aforementioned **Common** Vulnerabilities and Exposures (CVE) "identifier" is one of multiple exemplary disclosures related to the identification of a "potential vulnerability" which, as disclosed above, may clearly be used for "determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities," in the specific context claimed. Again, it should be noted that such non-

exhaustive exemplary support is set forth for illustrative purposes only, and such citations (and any context thereof) should not be construed as limiting to claims in any manner.

Claims 21-26, 32, 36-41,43,45 and 50-52 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over prior art of record US 7257630 to Cole et al (hereinafter Cole), prior art of record US 20050193430 to Cohen et al (hereinafter Cohen) and US 6550012 to Villa et al (hereinafter Villa).

In response, it is noted that Cohen indicates an earliest effective filing date of October 1, 2002. 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 Cohen reference. This fact excludes the Cohen 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. The claims are in condition for allowance. However, the absence of a reply to a specific rejection, issue, or comment does not signify agreement with or concession of that rejection, issue, or comment. In addition, because the arguments made above may not be exhaustive, there may be reasons for patentability of any or all pending claims (or other claims) that have not been expressed. Still yet, nothing in this reply should be construed as intention to concede any issue with regard to any claim, except as specifically stated in this reply. Finally, it should be noted that no claim is intended to be construed under 35 U.S.C. 112, paragraph 6.

Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-4964 (Order No. SP1P012D).

Respectfully submitted,



Dated: 21 Feb 2019

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PTO/SB/06 (09-11)
Approved for use through 1/31/2014. OMB 0651-0032
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| **PATENT APPLICATION FEE DETERMINATION RECORD**<br>Substitute for Form PTO-875 | Application or Docket Number<br>15/608,981 | Filing Date<br>05/30/2017 | ☐ To be Mailed |
|---|---|---|---|

**ENTITY:** ☐ LARGE ☑ SMALL ☐ MICRO

## APPLICATION AS FILED - PART I

| FOR | (Column 1)<br>NUMBER FILED | (Column 2)<br>NUMBER EXTRA | | RATE ($) | FEE ($) |
|---|---|---|---|---|---|
| ☐ BASIC FEE<br>(37 CFR 1.16(a), (b), or (c)) | N/A | N/A | | N/A | |
| ☐ SEARCH FEE<br>(37 CFR 1.16(k), (i), or (m)) | N/A | N/A | | N/A | |
| ☐ EXAMINATION FEE<br>(37 CFR 1.16(o), (p), or (q)) | N/A | N/A | | N/A | |
| TOTAL CLAIMS<br>(37 CFR 1.16(i)) | minus 20 = | * | | x $40 = | |
| INDEPENDENT CLAIMS<br>(37 CFR 1.16(h)) | minus 3 = | * | | x $210 = | |
| ☐ APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | |
| ☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | | |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | | TOTAL | |

## APPLICATION AS AMENDED - PART II

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | 02/21/2019 | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * 32 | Minus | ** 45 | = 0 | | x $50 = | 0 |
| | Independent<br>(37 CFR 1.16(h)) | * 1 | Minus | *** 3 | = 0 | | x $230 = | 0 |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | 0 |

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * | Minus | ** | = | | x $0 = | |
| | Independent<br>(37 CFR 1.16(h)) | * | Minus | *** | = | | x $0 = | |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | |

| | |
|---|---|
| * If the entry in column 1 is less than the entry in column 2, write "0" in column 3. | LIE |
| ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". | /SHERRY A DAVIS/ |
| *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". | |
| The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1. | |

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

92045 7590 05/09/2019

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| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 2438 | |

| NOTIFICATION DATE | DELIVERY MODE |
|---|---|
| 05/09/2019 | ELECTRONIC |

**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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

eofficeaction@appcoll.com
pcaldwell@thecaldwellfirm.com

| *Office Action Summary* | **Application No.** 15/608,981 | **Applicant(s)** Oliphant et al. | |
|---|---|---|---|
| | **Examiner** MADHURI R HERZOG | **Art Unit** 2438 | **AIA (FITF) Status** No |

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

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☑ Responsive to communication(s) filed on 02/21/2019.

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

2a)☐ This action is **FINAL.** 2b) ☑ This action is non-final.

3)☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

4)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims***

5) ☑ Claim(s) 21-46 and 48-53 is/are pending in the application.

5a) Of the above claim(s) _____ is/are withdrawn from consideration.

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 21-46 and 48-53 is/are rejected.

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

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

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to **PPHfeedback@uspto.gov.**

**Application Papers**

10)☐ The specification is objected to by the Examiner.

11)☐ The drawing(s) filed on _____ 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**

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

**Certified copies:**

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

**Attachment(s)**

1) ☑ Notice of References Cited (PTO-892)

2) ☑ Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b) Paper No(s)/Mail Date 11/14/2018.

3) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date _____.

4) ☐ Other: _____.

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

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

2. Claims 21-46 and 48-53 have been examined.

### *Continued Examination Under 37 CFR 1.114*

3. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 02/21/2019 has been entered.

### *Terminal Disclaimer*

4. The terminal disclaimer filed on 02/21/2019 disclaiming the terminal portion of any patent granted on this application which would extend beyond the expiration date of **any patent granted on Application Number 15/608978** has been reviewed and is accepted. The terminal disclaimer has been recorded.

***Information Disclosure Statement***

5. The information disclosure statement (IDS) submitted on 11/14/2018 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

***Response to Arguments***

6. Examiner's rejection of claim 21 under 35 U.S.C 112 is withdrawn in light of the applicant's Remarks.

7. Applicant's arguments with respect to claim 21 have been considered but are moot because the arguments do not apply to any of the references being used in the current rejection.

***Claim Rejections - 35 USC § 101***

8. 35 U.S.C. 101 reads as follows:

> Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 21-46 and 48-53 are rejected under 35 U.S.C. 101 because the claimed invention is directed to an abstract idea without significantly more. Claim 21 recites- receiving first vulnerability information from a data storage, identifying a configuration including an operating system associated with the plurality of devices, generating first vulnerability information associated with a plurality of devices by utilizing the configuration of the devices along with second vulnerability information retrieved from a data storage, identifying an occurrence, determining if at least one device is susceptible

to the occurrence based on the first vulnerability information and allowing selective utilization of mitigation actions including a firewall-based based mitigation type and another occurrence mitigation type.

The limitations of receiving first vulnerability information from a database, identifying the configuration including the operating system of the devices and generating first vulnerability information by utilizing the configuration of the devices and second vulnerability information, as drafted, is a process that, under its broadest reasonable interpretation, covers performance of the limitations in the mind but for the recitation of generic computer components. That is, other than reciting "one or more processors to," nothing in the claim element precludes the step from practically being performed in the mind. For example, but for the "one or more processors to" language, "receiving", "identifying" and "generating" in the context of this claim encompasses the user manually performing the steps. Similarly, the limitations of identifying an occurrence, determining if at least one device is susceptible to the occurrence based on the first vulnerability information and allowing selective utilization of mitigation actions including a firewall-based and another occurrence mitigation type as drafted, is a process that, under its broadest reasonable interpretation, covers performance of the limitations in the mind but for the recitation of generic computer components. For example, but for the "one or more processors to" language, "identifying", "determining" and "allowing" in the context of this claim encompasses the user manually identifying an occurrence, manually determining that at least one device is susceptible to the occurrence based on the first vulnerability information and manually selecting a mitigation action. If a claim limitation, under its broadest reasonable interpretation,

covers performance of the limitation in the mind but for the recitation of generic computer components, then it falls within the "Mental Processes" grouping of abstract ideas. Accordingly, the claim recites an abstract idea.

This judicial exception is not integrated into a practical application. In particular, the claim only recites one additional element – using a processor to perform all the steps. The processor in all the steps is recited at a high-level of generality (*i.e.*, as a generic processor performing a generic computer function) such that it amounts no more than mere instructions to apply the exception using a generic computer component. Accordingly, this additional element does not integrate the abstract idea into a practical application because it does not impose any meaningful limits on practicing the abstract idea. The claim is directed to an abstract idea.

The claims do not include additional elements that are sufficient to amount to significantly more than the judicial exception. As discussed above with respect to integration of the abstract idea into a practical application, the additional element of using a processor to perform all the steps amounts to no more than mere instructions to apply the exception using a generic computer component. Mere instructions to apply an exception using a generic computer component cannot provide an inventive concept. The claim is not patent eligible.

Similarly, the dependent claims 22-46 and 48-53 are directed to an abstract idea.

***Claim Rejections - 35 USC § 103***

9. The following is a quotation of pre-AIA 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

10. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

11. Claims 21, 24, 26, 32, 37, 39, 40, 41, 43 and 45 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over US 7181769 to Keanini et al (hereinafter Keanini) and US 7509681 to Flowers et al (hereinafter Flowers).

**As per claim 21**, Keanini teaches:

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

receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability **(Keanini: column 12, lines 1-27: The control module 320 identifies 1050 the total set of vulnerabilities for the host 191 from the vulnerability trees. Next, the control module 320 uses the sensors 345, 355 to verify 1060 the existence of the vulnerabilities on the host 191)**;

said first vulnerability information generated utilizing the second vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device **(Keanini: column**

**6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191)**, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities **(Keanini: column 6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191 and use the characteristics to determine the host's vulnerabilities. Column 7, lines 49-67: In one embodiment, the rules database module 365 also stores potential vulnerabilities of hosts in one or more tree-like data structures, referred to as "vulnerability trees" 400 (e.g., an application vulnerability tree and an operating system vulnerability tree). The control module 320 is adapted to fire rules in the rules database module 365 that use the high-355 and/or low-level sensors 345 to determine the host's characteristics and use these characteristics to traverse the vulnerability tree 400 and identify potential vulnerabilities at each host 191. Also, column 10, lines 59-67 and column 12, lines 1-27)**;

identify an occurrence in connection with at least one of the plurality of devices **(Keanini: column 11, lines 53-65: The traffic sniffing module 840 monitors network traffic to detect traffic corresponding to attack signatures in the attack signatures module 920. The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures)**;

determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence

identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information **(Keanini: column 11, lines 53-65: Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic)**; and

permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices **(Keanini: column 11, lines 15-25: The event daemon module 820 performs a set of actions to block a host's exposure to its vulnerabilities. In one embodiment the event daemon module 820 responds to a notification of vulnerabilities from the device profiler 165. In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs)**;

wherein the at least one configuration involves at least one operating system **(Keanini: column 7, lines 20-25: The low-level sensor 345 identifies operating systems running on hosts 191 and/or other characteristics)**.

Keanini teaches a firewall-based occurrence mitigation type but does not explicitly teach a other occurrence mitigation type. However, Flowers teaches:

a other occurrence mitigation type **(Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-64)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Flowers in the invention of Keanini to include a other occurrence mitigation type. The motivation to do so would be to not only allow an intrusion detection system (IDS) to leverage off the information gathered by the vulnerability detection system (VDS) but also allows a simple way to define rules for use by the vulnerability and intrusion detection systems to check for network conditions, such as vulnerabilities or intrusions (Flowers: column 2, lines 23-30).

**As per claim 24**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only relevant vulnerabilities prompt user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith **(Keanini: column 6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191 and use the characteristics to determine the host's vulnerabilities. Column 7, lines 49-67: In one embodiment, the rules database module 365 also stores potential**

**vulnerabilities of hosts in one or more tree-like data structures, referred to as "vulnerability trees" 400 (e.g., an application vulnerability tree and an operating system vulnerability tree). The control module 320 is adapted to fire rules in the rules database module 365 that use the high-355 and/or low-level sensors 345 to determine the host's characteristics and use these characteristics to traverse the vulnerability tree 400 and identify potential vulnerabilities at each host 191. Column 9, lines 35-67: The vulnerability tree for operating systems is similar to the application vulnerability tree 400 described above. For example, a top level of the tree can represent an operating system family (e.g., Unix, Windows, and MacOS) and descending levels can represent specific operating systems in each family (e.g., specific to Widows is XP, NT, 2000), operating system versions (e.g., specific to NT is 3.5 and 4.0), and patch levels (specific to 3.5 is Service Pack 1 and Service Pack 2). Also, column 10, lines 59-67 and column 12, lines 1-27).**

**As per claim 26**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability **(Keanini: column 6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191 and use the characteristics to determine the host's vulnerabilities. Column 7, lines 49-67: In one embodiment, the rules database module 365 also stores potential**

**vulnerabilities of hosts in one or more tree-like data structures, referred to as "vulnerability trees" 400 (e.g., an application vulnerability tree and an operating system vulnerability tree). The control module 320 is adapted to fire rules in the rules database module 365 that use the high-355 and/or low-level sensors 345 to determine the host's characteristics and use these characteristics to traverse the vulnerability tree 400 and identify potential vulnerabilities at each host 191. Column 11, lines 15-25: The event daemon module 820 performs a set of actions to block a host's exposure to its vulnerabilities. In one embodiment the event daemon module 820 responds to a notification of vulnerabilities from the device profiler 165. In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs)**.

**As per claim 32**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is

different than that included in connection with the first occurrence mitigation action **(Keanini: Column 12, lines 52-67: In one embodiment, the notification is sent to block vulnerabilities that have a high probability of being attacked, or that have a high consequence as a result of being attacked. In response to receiving 1230 notification of malicious activity from a traffic monitor 185, the centralized correlation server 175 performs a set of actions such as configuring the firewall 150 in real-time to block the attack. Column 2, lines 43-62: The rules used by the VDS and IDS are easily formed and therefore, an end user, such as a security or network engineer, can easily define and construct rules beyond any that are defined by the VDS/IDS provider)**.

**As per claim 37**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: based on user input, automatically block the occurrence, to prevent an attack from taking advantage of the at least one actual vulnerability while there is no installation of a patch that removes the at least one actual vulnerability **(Keanini: Column 12, lines 52-67: In one embodiment, the notification is sent to block vulnerabilities that have a high probability of being attacked, or that have a high consequence as a result of being attacked. In response to receiving 1230 notification of malicious activity from a traffic monitor 185, the centralized correlation server 175 performs a set of actions such as configuring the firewall 150 in real-time to block the attack. Column 2, lines 43-62: The rules used by the**

**VDS and IDS are easily formed and therefore, an end user, such as a security or network engineer, can easily define and construct rules beyond any that are defined by the VDS/IDS provider)**.

**As per claim 39**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is permitted, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is permitted **(Keanini: column 2, lines 29-37: The control module determines a set of potential vulnerabilities by summing the vulnerabilities at each traversed node. The control module determines whether the vulnerabilities actually exist on the host and sends a list of the verified vulnerabilities to the centralized correlation server. Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 40**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence **(Keanini: Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 41**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively permitted at the second device in response

to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence **(Keanini: column 11, lines 15-33: In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs. Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-64)**.

**As per claim 43**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: determine the occurrence to have a first severity if it is determined that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence; determine the occurrence to have a second severity if it determined that the at least one actual vulnerability of the at least one of the plurality of devices is not susceptible to being taken advantage of by the occurrence; and report the occurrence differently based on whether the occurrence is determined to have the first severity or the second severity **(Keanini: column 2, lines**

**55-67: A traffic monitor monitors network traffic for attack signatures corresponding to the determined vulnerabilities to detect malicious activity. In one embodiment, the traffic monitor associates attack signatures with the specific destination (e.g., IP address and/or port) having the corresponding vulnerability. The traffic monitor does not signal an attack unless the attack matches the attack signature of an exploit of a vulnerability and is directed to a destination known to have the vulnerability. Column 11, lines 53-65: Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Additionally, the traffic sniffing module 930 is configured to send a notification message to the centralized correlation server 175 in response to detecting an attack signature. Column 12, lines 52-67: In one embodiment, the notification is sent to block vulnerabilities that have a high probability of being attacked, or that have a high consequence as a result of being attacked)**.

**As per claim 45**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type **(Flowers: column 2, lines 22-40: Intrusion detection system (IDS))**.

12. Claims 22, 23, 25, 27, 28, 30, 33-36, 38, 42, 44, 46 and 48-53 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Keanini in view of Flowers as

applied to claim 21 above, and further in view of US 20050235360 to Sterling Michael Pearson (hereinafter Pearson).

**As per claim 22**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality. However, Pearson teaches:

wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the

instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of

Keanini in view of Flowers to include wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 23**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of

devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device. However, Pearson teaches:

wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the**

**user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 25**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the

actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user **(Flowers: column 4, lines 1-15: Such a Target-based IDS will have the ability to monitor for specific conditions to which the network has been determined to be vulnerable, as well as any range of conditions or attacks to which the network might be vulnerable. For instance, if the VDS finds a type of service S, but has not verified S's vulnerability to a buffer overflow condition, the IDS may still monitor for such a buffer overflow. So if a vulnerability V is identified, the intrusion detection system is target-based by virtue of the fact that it monitors the system running with vulnerability V, it monitors for attacks on V, and it monitors for attacks that make sense to look for given the presence of V)**.

Keanini in view of Flowers does not explicitly teach: one or more options are provided to a user and only relevant occurrence mitigation actions are available for selection by the user. However, Pearson teaches:

one or more options are provided to a user and only relevant occurrence mitigation actions are available for selection by the user **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option**

**or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include one or more options are provided to a user and only relevant occurrence mitigation actions are available for selection by the user. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 27**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence. However, Pearson teaches:

wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a**

**conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 28**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being supplemented

by the second occurrence mitigation action of the other occurrence mitigation type at the first device **(Keanini: column 11, lines 15-25: In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. Flowers: Abstract: alerts the user to potential intrusions that could actually affect the particular network. Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

**As per claim 30**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence

mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

**As per claim 33**, Keanini in view of Flowers does not teach: wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options. However, Pearson teaches:

wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a**

**conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 34**, Keanini in view of Flowers does not teach: wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the

firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. However. Pearson teaches:

wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or**

**intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 35**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 34, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality **(Keanini: column 12, lines 52-67: In response to receiving 1230 notification of malicious activity from a traffic monitor 185, the centralized correlation server 175 performs a set of actions such as configuring the firewall 150 in real-time to block the attack. Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-67 and column 4, lines 1-15: So if a vulnerability V is identified, the intrusion detection system is target-based by virtue of the fact that it monitors the system running with vulnerability V, it monitors for attacks on V, and it monitors for attacks that make sense to look for given the presence of V)**.

**As per claim 36**, Keanini in view of Flowers does not teach: wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting

among the different occurrence mitigation actions before the identification of the different occurrences. However, Pearson teaches:

wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known**

**manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 38**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device **(Keanini: column 11, lines 53-65)**; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence packet to determine whether a first actual vulnerability of the first device identified by the first vulnerability information is

configured so as to be taken advantage of by the at least one first occurrence packet **(Keanini: column 11, lines 53-65. Flowers: column 3, line 55-column 4, line 15)**, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one second occurrence packet **(Keanini: column 11, lines 53-65. Flowers: column 3, line 55-column 4, line 15)**; and the permitting the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface **(Keanini: column 11, lines 15-25 and column 10, lines 3-10. Flowers: column 2, lines 42-47)**; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device **(Keanini: column 12, lines 52-67)**; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual

vulnerability in connection with the second device **(Flowers: column 3, line 55-column 4, line 15)**.

Keanini in view of Flowers does not explicitly teach based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall- based occurrence mitigation type is completed. However, Pearson teaches:

based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall- based occurrence mitigation type is completed **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. Also, [0065], [0049])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall- based occurrence mitigation type is completed. The motivation to do so would be to remotely

configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 42**, Keanini in view of Flowers does not teach: wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability. However, Pearson teaches:

wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for**

**each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 44**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. However, Pearson teaches:

wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 46**, Keanini in view of Flowers does not teach: wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type. However, Pearson teaches:

wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type **(Pearson: [0016] The remote computer retains the queued software patches until it receives a request to configure the communication device. Predetermined configuration information, which may include these queued software patches, is transmitted to the communication device in response to receiving that request to configure. Upon receiving the request to configure, the remote computer transmits the configuration information to the communication device via an encrypted channel)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 48**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 38, wherein the instructions are configured such that at least one of: said at least one first data storage includes at least one first database; said at least one second data storage includes at least one second database **(Keanini: column 5, lines 26-33)**; said second vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith **(Keanini: column 12, lines 40-52)**; said second vulnerability information includes accurately identified vulnerability information; said second vulnerability information includes actual vulnerability information **(Keanini: column 2, lines 29-37)**; said first vulnerability information is generated via a vulnerability scan operation **(Keanini: column 7, lines 1-7)**; said first vulnerability information includes potential vulnerability information **(Keanini: column 2, lines 29-37)**; said first device, said second device, and said third device are part of the same group **(Keanini: column 4, lines 5-25)**; said at least one configuration includes at least one of configuration data, configuration information, or a configuration status; said

at least one configuration includes at least one of a configuration option, a policy setting, or a patch **(Keanini: column 10, lines 5-10. Flowers: column 2, lines 43-47)**; said at least one configuration is identified via user input in connection with at least one setting **(Keanini: column 10, lines 5-10. Flowers: column 2, lines 43-47)**; said occurrence mitigation by preventing advantage being taken includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that takes advantage of the at least one actual vulnerability **(Keanini: column 12, lines 52-67)**; said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall **(Keanini: column 12, lines 52-67)**; said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the

different occurrence mitigation actions on each of the plurality of devices **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said at least one actual vulnerability includes the at least one operating system **(Keanini: column 9, lines 45-65)**; said actual vulnerabilities include the at least one actual vulnerability **(Keanini: column 2, lines 4-16)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which includes the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system **(Keanini: column 9,**

**lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; said different occurrence mitigation actions include different remediation actions **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack **(Keanini: column 11, lines 43-65)**; said user input includes separate user input for selecting the first occurrence mitigation action and the second occurrence mitigation action **(Pearson: [0063], [0065], [0049]);** said first signal and thee second signal include at least one of response signals, or signals sent in response to a query signal **(Keanini: column 11, lines 43-65 and column 12, lines 52-67)**; said first component with the firewall type functionality includes at least one of a firewall, a gateway with the firewall type functionality, a router with the firewall type functionality, a sensor with the firewall type functionality, or a multiple-security product system with the firewall type functionality **(Keanini: column 12, lines 52-67)**; said preventing includes at least one of

rejecting a request, disallowing an attempt, dropping at least one packet, blocking a potential attack, redirecting a request, setting a policy, affecting a service, changing a configuration option, or installing a patch; or said automatic response includes a real-time response **(Keanini: column 12, lines 52-67)**.

**As per claim 49**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that each of: said at least one first data storage includes at least one first database; said at least one second data storage includes at least one second database **(Keanini: column 5, lines 26-33)**; said second vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith **(Keanini: column 12, lines 40-52)**; said first vulnerability information is generated via a vulnerability scan operation **(Keanini: column 7, lines 1-7)**; said first vulnerability information identifies at least one actual vulnerability **(Keanini: column 2, lines 4-16)**; said first vulnerability information includes at least one of a vulnerability identifier or information associated with one or more of the actual vulnerabilities **(Keanini: column 5, lines 25-40)**; said first device, said second device, and said third device are part of the same group **(Keanini: column 4, lines 5-25)**; said at least one configuration includes at least one of configuration data, configuration information, or a configuration status **(Keanini: column 10, lines 5-10. Flowers: column 2, lines 43-47)**; said at least one configuration includes at least one of a configuration option, a policy setting, or a patch **(Keanini: column 10, lines 5-10.**

**Flowers: column 2, lines 43-47)**; said at least one configuration for being utilized for identifying the at least one operating system or an application **(Keanini: column 7, lines 20-25)**; said at least one configuration is identified utilizing information regarding the at least one operating system or an application **(Keanini: column 7, lines 20-25)**; said at least one configuration is identified via user input in connection with at least one setting **(Keanini: column 10, lines 5-10)**; said occurrence mitigation includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that takes advantage of the at least one actual vulnerability; said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall **(Keanini: column 12, lines 52-67)**; said other occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing intrusion prevention system functionality, or a type that mitigates the occurrence utilizing an intrusion prevention system **(Flowers: Abstract, column 3, line 55-column 4, line 15)**; said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices **(Keanini:**

**column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said at least one actual vulnerability is the at least one operating system **(Keanini: column 9, lines 45-65)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which is the at least one operating

system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said different occurrence mitigation actions include different remediation actions; said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack **(Keanini: column 11, lines 43-65)**; said at least one actual vulnerability includes at least one of the potential vulnerabilities to which the plurality of devices is determined to be actually vulnerable based on the identified at least one configuration **(Keanini: column 2, lines 29-37, column 20-65)**; said at least one configuration includes at least one of: service pack information, one or more elements contained in files including at least one of an *.ini or *.conf file, registry information, identification of the at least one operating system, identification of a software version, or identification of software

**(Keanini: column 7, lines 8-46)**; said determining that the plurality of devices is actually vulnerable to the at least one actual vulnerability includes at least one of: matching the identified at least one configuration with a guideline associated with at least one update, or cross-referencing an identifier with the identified at least one configuration **(Keanini: column 7, lines 49-67 and column 8, lines 27-56)**; said non-transitory computer-readable media includes a single non-transitory computer readable medium; one or more of said different occurrence mitigation actions, after a user selection, is automatically applied at a later time **(Pearson: [0063], [0065], [0049])**; one or more of said different occurrence mitigation actions puts a policy in place for being utilized at a later time; one or more of said different occurrence mitigation actions, after an automatic application thereof, is utilized at a later time for the occurrence mitigation **(Keanini: column 12, lines 52-67. Flowers: column 3, lines 55-67)**; one of said different occurrence mitigation actions of the other occurrence mitigation type utilizes an intrusion prevention system to deploy a patch **(Flowers: column 3, lines 55-67. Pearson: [0015])**; one of said different occurrence mitigation actions of the firewall-based occurrence mitigation type utilizes a firewall to deploy a patch utilizing an update component **(Keanini: column 12, lines 52-67. Pearson: [0015])**; and wherein the instructions are configured for use with at least one NOC server, a data warehouse, and an SDK for allowing access to information associated with at least one vulnerability and at least one remediation **(Keanini: column 12, lines 52-67)**, and wherein the instructions are configured for determining which devices have vulnerabilities by directly querying a firmware or operating system of the devices **(Keanini: column 7, lines 8-46)**.

**As per claim 50**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is caused, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is caused **(Keanini: column 2, lines 29-37: The control module determines a set of potential vulnerabilities by summing the vulnerabilities at each traversed node. The control module determines whether the vulnerabilities actually exist on the host and sends a list of the verified vulnerabilities to the centralized correlation server. Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 51**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively caused for different devices prior to the occurrence **(Keanini: Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 52**, Keanini in view of Flowers and Pearson teaches:

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

response to the occurrence **(Keanini: column 11, lines 15-33: In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs. Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-64)**.

**As per claim 53**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication**

**device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

13. Claims 29 and 31 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Keanini in view of Flowers and Pearson as applied to claim 27 above, and further in view of prior art of record US 20030126472 to Carl Banzhof (hereinafter Banzhof).

**As per claim 29**, Keanini in view of Flowers and Pearson teaches reporting of the occurrence but does not teach: wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action

of the other occurrence mitigation type being rolled back at the third device. However, Banzhof teaches:

wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device (**Banzhof: [0031]: In box 86, the client user, typically an IT person or other computer security personnel, is given the opportunity to select which vulnerabilities should be remediated. Alternatively, a particular vulnerability could be deselected for all target client computers, such that the vulnerability would not be remediated on any of the target computers, perhaps because the vulnerability does not pose a sufficient security risk, the remediation signature is deemed too risky, etc. [0032]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the client computer, or because the remediation actions had unintended deleterious effects, etc., then the remediation can be rolled back or undone and the remediation process can be repeated as indicated in box 99).**

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Keanini in view of Flowers and Pearson to include wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence

mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 31**, Keanini in view of Flowers and Pearson teaches reporting of the occurrence but does not teach: wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device. However, Banzhof teaches:

wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device (Banzhof: [0031]: In box 86, the client user, typically an IT person or other computer security personnel, is given the opportunity to select which vulnerabilities should be remediated. Alternatively, a particular vulnerability could be deselected for all target client computers, such that the vulnerability would not be remediated on any of the target computers, perhaps because the vulnerability does not pose a

**sufficient security risk, the remediation signature is deemed too risky, etc. [0032]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the client computer, or because the remediation actions had unintended deleterious effects, etc., then the remediation can be rolled back or undone and the remediation process can be repeated as indicated in box 99).**

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Keanini in view of Flowers and Pearson to include wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

***Conclusion***

14. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

US 7712138 to Zobel et al: Once the system runs the security audit, a vulnerability assessment can be calculated for each element in the network. The vulnerability assessment can be presented in a format that facilitates interpretation and

response by someone operating the system. The vulnerability assessment can also be used to configure and schedule future security audits.

US 6301699 to Hollander et al: Method for detecting buffer overflow weakness exploitation, including the steps of determining a plurality of threshold parameters, each respective to a buffer overflow weakness exploitation event, analyzing a code to be executed, thereby producing a plurality of validation values, comparing said validation values to the respective ones of the threshold parameters, and determining a buffer overflow weakness exploitation attempt, when at least one of the validation values exceeds the respective one of the threshold parameters.

US 6415321 to Gleichauf et al: A method and system for mapping a network domain provides a centralized repository for network information to support network devices, including an intrusion detection system.

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

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

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on (571)272-3787. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MADHURI R. HERZOG
Primary Examiner
Art Unit 2438

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

| Notice of References Cited | Application/Control No. 15/608,981 | Applicant(s)/Patent Under Reexamination Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | Page 1 of 1 |

**U.S. PATENT DOCUMENTS**

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Name | CPC Classification | US Classification |
|---|---|---|---|---|---|---|
| * | A | US-20050235360-A1 | 10-2005 | Pearson, Sterling Michael | H04L29/06 | 726/23 |
| * | B | US-7509681-B2 | 03-2009 | Flowers; John S. | G06F21/552 | 713/151 |
| * | C | US-7181769-B1 | 02-2007 | Keanini; Timothy D. | H04L63/1416 | 713/166 |
| * | D | US-7712138-B2 | 05-2010 | Zobel; Robert David | G06F21/577 | 709/224 |
| * | E | US-6301699-B1 | 10-2001 | Hollander; Yona | G06F21/55 | 717/131 |
| * | F | US-6415321-B1 | 07-2002 | Gleichauf; Robert E. | H04L41/00 | 709/224 |
| | G | | | | | |
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**FOREIGN PATENT DOCUMENTS**

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Country | Name | CPC Classification |
|---|---|---|---|---|---|---|
| | N | | | | | |
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**NON-PATENT DOCUMENTS**

| * | | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
|---|---|---|
| | U | |
| | V | |
| | W | |
| | X | |

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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

**CLAIMS**

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

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | | | | | | |
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| | 29 | ✓ | ✓ | ✓ | | | | | | |
| | 30 | ✓ | ✓ | ✓ | | | | | | |
| | 31 | ✓ | ✓ | ✓ | | | | | | |
| | 32 | ✓ | ✓ | ✓ | | | | | | |
| | 33 | ✓ | ✓ | ✓ | | | | | | |
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| | 35 | ✓ | ✓ | ✓ | | | | | | |
| | 36 | ✓ | ✓ | ✓ | | | | | | |
| | 37 | ✓ | ✓ | ✓ | | | | | | |
| | 38 | ✓ | ✓ | ✓ | | | | | | |
| | 39 | ✓ | ✓ | ✓ | | | | | | |
| | 40 | ✓ | ✓ | ✓ | | | | | | |
| | 41 | ✓ | ✓ | ✓ | | | | | | |
| | 42 | ✓ | ✓ | ✓ | | | | | | |

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | | | | | | |
| | 43 | ✓ | ✓ | ✓ | | | | | | |
| | 44 | ✓ | ✓ | ✓ | | | | | | |
| | 45 | ✓ | ✓ | ✓ | | | | | | |
| | 46 | ✓ | ✓ | ✓ | | | | | | |
| | 47 | ✓ | - | - | | | | | | |
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| | 52 | | | ✓ | | | | | | |
| | 53 | | | ✓ | | | | | | |



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| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| CPC - Searched* | | |
|---|---|---|
| **Symbol** | **Date** | **Examiner** |
| H04L 63/02$, 63/14$, 63/20$ | 05/06/2019 | M.H |
| G06F 21/5$ | 05/06/2019 | M.H |

| CPC Combination Sets - Searched* | | |
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| **Symbol** | **Date** | **Examiner** |
| | | |

| US Classification - Searched* | | | |
|---|---|---|---|
| **Class** | **Subclass** | **Date** | **Examiner** |
| | | | |

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

| Search Notes | | |
|---|---|---|
| **Search Notes** | **Date** | **Examiner** |
| Inventor search, Assignee search | 05/06/2019 | M.H |
| East search | 05/06/2019 | M.H |

| Interference Search | | | |
|---|---|---|---|
| **US Class/CPC Symbol** | **US Subclass/CPC Group** | **Date** | **Examiner** |
| | | | |

| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
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**EAST Search History**

**EAST Search History (Prior Art)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
|---|---|---|---|---|---|---|
| L1 | 152 | "6952779" | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/05/06 09:33 |
| L2 | 107 | ("4773028" \| "5032979" \| "5278901" \| "5295230" \| "5361359" \| "5475625" \| "5485409" \| "5557742" \| "5621889" \| "5796942" \| "5812763" \| "5819094" \| "5850516" \| "5892903" \| "5923849" \| "5926463" \| "5931946" \| "5958010" \| "5991881" \| "6070244" \| "6088804" \| "6134664" \| "6185689" \| "6205552" \| "6212558" \| "6253337" \| "6275942" \| "6282546" \| "6295607" \| "6298445" \| "6301613" \| "6301668" \| "6301699" \| "6324656" \| "6415321" \| "6546493").PN. | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/05/06 09:37 |
| L3 | 36 | (user or administrator or operator) with (choos$4 or select$4 or pick$4 or designat$4) with firewall with (intrusion near2 (detect$4 or prevent$4) or ids or ips) and (intrusion near2 (detect$4 or prevent$4) or ids or ips) with (prevent$4 or thwart$4 or stop$4 or block$4 or inhibit$4 or prohibit$4) near5 connection | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/05/06 09:38 |
| L4 | 307 | (user or administrator or operator) with (choos$4 or select$4 or pick$4 or designat$4) with firewall with (intrusion near2 (detect$4 or prevent$4) or ids or ips) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/05/06 09:58 |
| L5 | 178 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and L4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/05/06 09:59 |
| L6 | 128 | roll$2back$4 with (mitigat$4 or remediat$4 or firewall or intrusion near2 (detect$4 or prevent$4)) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/05/06 10:10 |

**EAST Search History (Interference)**

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| Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office<br>**Information Disclosure Statement by Applicant**<br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) | Attorney Docket No.<br>SP1P012D | Application No.<br>15/608,981 |
|---|---|---|
| | Inventor<br>Brett M. Oliphant | Confirmation Number<br>9076 |
| | Filing Date<br>05/30/2017 | Group Art Unit<br>2438 |

**U.S. Patent Documents**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|---|---|---|---|---|---|---|---|
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**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 |
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**Other Documents (include Author, Title, Date, and Place of Publication)**

| Examiner Initial | Desig. ID | Document |
|---|---|---|
| /M.R.H/ | A | Action Summary for US Pat Appl No 14834102 dated 08/24/2918 |
| /M.R.H/ | B | Action Summary for US Pat Appl No 15608978 dated 11-05-2018 |
| /M.R.H/ | C | Action Summary for US Pat Appl No 15608983 dated 09-11-2018 |
| | | |

/MADHURI R HERZOG/ 05/06/2019

Substitute Disclosure Form (PTO-1449)

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

| Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office<br>**Information Disclosure Statement by Applicant**<br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) | Attorney Docket No.<br>SP1P012D | Application No.<br>15/608,981 |
|---|---|---|
| | Inventor<br>Brett M. Oliphant | Confirmation Number<br>9076 |
| | Filing Date<br>05/30/2017 | Group Art Unit<br>2438 |

## 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).

☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed _____ and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

☐ 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 | | Date (YYYY-MM-DD) | |
|---|---|---|---|
| Name/Print | Brian Owens | Registration Number | 55517 |



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

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: Madhuri R HERZOG |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 2017-05-30 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: May 17, 2019 |

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

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

Examiner:

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

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

Additionally, related patent US8984644 is the subject of inter partes review (IPR No. IPR2017-02192), where Claims 1, 7, and 14 of such patent were held unpatentable.

Application No.: 15/608,981
Date: May 17, 2019
Information Disclosure Statement

This Information Disclosure Statement is being filed after the mailing date of a non-final Office Action. Accordingly, applicants are including payment in the amount of $120.00 for the fee due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any additional fees are due, the Commissioner is hereby authorized to charge such fees or credit any overpayment to Deposit Account 50-4964 (Order No. SP1P012D).

Respectfully submitted,



Dated: 17 May 2019

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

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

| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney Docket No. SP1P012D | Application No. 15/608,981 |
|---|---|---|---|
| **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b)) | | Inventor Brett M. Oliphant | Confirmation Number 9076 |
| | | Filing Date 05/30/2017 | Group Art Unit 2438 |

**U.S. Patent Documents**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee | Class | Subclass | Filing Date If Appropriate |
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**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 |
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**Other Documents (include Author, Title, Date, and Place of Publication)**

| Examiner Initial | Desig. ID | Document |
|---|---|---|
| | A | Notice of Allowance for US Pat Appl No 15608983 dated 02-04-2019 |
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| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney Docket No. SP1P012D | Application No. 15/608,981 |
|---|---|---|---|
| **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b)) | | Inventor Brett M. Oliphant | Confirmation Number 9076 |
| | | Filing Date 05/30/2017 | Group Art Unit 2438 |

## 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).

☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed _____ and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

☐ See attached certification statement.

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

☒ A certification statement is not submitted herewith.

## SIGNATURE

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2019-05-17 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

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

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Miscellaneous:** | | | | |
| SUBMISSION- INFORMATION DISCLOSURE STMT | 2806 | 1 | 120 | 120 |
| | | **Total in USD ($)** | | **120** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 36050591 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 17-MAY-2019 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 21:29:40 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $120 |
| RAM confirmation Number | 052019INTEFSW21300700 |
| Deposit Account | |
| Authorized User | |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: | |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Amendment/Req. Reconsideration-After Non-Final Reject | SP1P012D_AmendmentC_vF_17-May-2019.pdf | 100067<br>aaeac701be4aa308e53371fb5fe15f8040438b3e | no | 9 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Transmittal Letter | SP1P012D_IDS_XMTL_vF_17-May-2019.pdf | 55517<br>f50d6f26ac3ca9194eae6e6a5993cffc2cf95bb2 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | Information Disclosure Statement (IDS) Form (SB08) | SP1P012D_IDS_1449_vF_17-May-2019.pdf | 55822<br>c9fd2a3505d2726e5392af61ed725002037cea78 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| This is not an USPTO supplied IDS fillable form | | | | | |
| 4 | Non Patent Literature | 15608983.pdf | 466923<br>cc539dd1df6e9b0c0c59ae6ccfd2797d86116dba | no | 9 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 5 | Fee Worksheet (SB06) | fee-info.pdf | 30446<br>dc7dcde0225a5718528e0f862d4e2572ec3c6565 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 708775 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: May 17, 2019 |

**AMENDMENT C**

Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1
450

Examiner:

In response to the Office Action mailed 05/09/19, please enter the following amendments.



Forcepoint LLC
EX-1002
Page 429

**Remarks:**

Claims 21-46 and 48-53 are rejected under 35 U.S.C. 101 because the claimed invention is directed to an abstract idea without significantly more. Applicant respectfully disagrees with such rejection in view of the following.

Specifically, applicant respectfully notes that, in the recent USPTO "2019 Revised Patent Subject Matter Eligibility Guidance" ("Guidance"), the USPTO indicated, for Step 1 of the *Alice* test, that abstract ideas can be grouped as mathematical concepts, certain methods of organizing human activity, and mental processes. Importantly, claims that do not recite subject matter that falls within these enumerated groupings of abstract ideas should not be treated as reciting abstract ideas.

In the present application, one or more of the claims require "permit[ing] selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices" which clearly does not fall within the aforementioned groupings of abstract ideas.

In addition, applicant respectfully notes that, in the recent USPTO Guidance, the USPTO indicated, for Step 1 of the *Alice* test, that a patent application claim that recites a judicial exception is not ''directed to'' the judicial exception if the judicial exception is integrated into a practical application of the judicial exception. Further, examiners should evaluate integration into a practical application by: (a) identifying whether there are any additional elements recited in the claim beyond the judicial exception(s); and (b) evaluating those additional elements individually and in combination to determine whether they integrate the exception into a practical application. In the context of the above, the following exemplary considerations are

indicative that an additional element (or combination of elements) may have integrated the exception into a practical application:

1) an additional element reflects an *improvement in the functioning of a computer*, or an *improvement to other technology or technical field*;

2) an additional element implements a judicial exception with, or uses a judicial exception in conjunction with, a *particular machine or manufacture* that is integral to the claim;

3) an additional element effects a *transformation or reduction of a particular article to a different state or thing*; and

4) an additional element applies or uses the judicial exception in some other meaningful way *beyond generally linking the use of the judicial exception to a particular technological environment*, such that the claim as a whole is more than a drafting effort designed to monopolize the exception.

Per the Guidance, this is not an exclusive list, and there may be other examples of integrating the exception into a practical application.

In the present application, even if the Examiner were to conclude that the claims fall within the aforementioned groupings of abstract ideas, the claims in the present application include one or more additional elements that extend beyond the judicial exception(s) and integrate the exception into a practical application. See the highlighted language below, just by way of example in the context of Claim 21, that represents an *improvement in the functioning of a computer* or *technical field* so as to *render the same* a *particular machine* (or method for operating the same) in a *particular technological environment.* See 1), 2) and 4) above.

"21. A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to:

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

at least one first potential vulnerability, and

at least one second potential vulnerability;

said first vulnerability information generated utilizing the second vulnerability information, by:

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

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

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

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

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

wherein the at least one configuration involves **at least one operating system**."
(emphasis added)

Finally, applicant respectfully notes that, in the recent USPTO Guidance, the USPTO indicated, for Step 2 of the *Alice* test, that if the Examiner concludes, under the Guidance, that an additional element is insignificant extra-solution activity, they should reevaluate that conclusion in Step 2 of the *Alice* test. If such reevaluation indicates that the element is *unconventional or otherwise more than what is well-understood, routine, conventional activity in the field*, this finding may indicate that an inventive concept is present and that the claim is thus eligible.

In the present case, even if the Examiner concludes that the above-highlighted elements are insignificant extra-solution activity, they are indeed unconventional or otherwise more than what is well-understood, routine, conventional activity in the field, for at least the reason that the claim elements, individually and in combination, are not found in the prior art, as evidenced below by the fact that the Examiner's cited art is not even prior art.

Claims 21, 24, 26, 32, 37, 39, 40, 41, 43 and 45 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over US 7181769 to Keanini et al (hereinafter Keanini) and US 7509681 to Flowers et al (hereinafter Flowers). Applicant respectfully disagrees with this rejection.

Specifically, Applicant acknowledges that Keanini claims to be "a continuation-in-part of U.S. patent application Ser. No. 09/757,963 filed on Jan. 10, 2001 now U.S. Pat. No. 6,957,348, Ser. No. 09/757,872 filed on Jan. 10, 2001 and Ser. No. 09/648,211 filed on Aug. 25, 2000 now U.S. Pat. No. 7,073,198."

However, none of the above priority documents above disclose all of the subject matter in Keanini that is relied upon by the Examiner in attempt ingto meet applicant's claims, namely column 6, lines 54-67; column 7, lines 20-25, 49-67; column 10, lines 59-67; column 11, lines 15-25, 53-65; and column 12, lines 1-27.

Still yet, Applicant acknowledges that Keanini purportedly claims the benefit of "U.S. Provisional Application No. 60/388,078, filed on Jun. 11, 2002." First, the aforementioned provisional does not disclose all of the subject matter in Keanini that is relied upon by the Examiner in an attempt to meet applicant's claims, namely column 6, lines 54-67; column 7, lines 20-25, 49-67; column 10, lines 59-67; column 11, lines 15-25, 53-65; and column 12, lines 1-27.

Further, Keanini does not include a claim that is actually entitled to the benefit of priority of the provisional application. See the combination of terms highlighted from the independent claims from Keanini below:

> 1. A distributed computer network security system for detecting an attack on a host on a network having a plurality of hosts, the system comprising: a device profiler communicatively coupled with the network, the device profiler for identifying characteristics of a host from the plurality of hosts on the network and determining vulnerabilities of the host based on the characteristics **according to a tree-structured vulnerability table**; and a traffic monitor, communicatively coupled with the network and the device profiler, and cooperative with the device profiler, for monitoring the network for traffic indicative of an attack on the host, from the plurality of hosts on the network, exploiting one of the determined vulnerabilities of the host, wherein a determined vulnerability pertains to a specific location and wherein the traffic monitor monitors for exploits of the determined vulnerability directed to the location and ignores exploits of the determined vulnerability directed to locations to which the determined vulnerability does not pertain. (emphasis added)
>
> 9. A distributed computer network security system for detecting an attack on a host on a network having a plurality of hosts, the system comprising: a device profiler communicatively coupled with the network, the device profiler for identifying characteristics of a host from the plurality of hosts on the network and determining

vulnerabilities of the host based on the characteristics **according to a tree-structured vulnerability table**; a traffic monitor, communicatively coupled with the network and the device profiler, and cooperative with the device profiler, for monitoring the network for traffic indicative of an attack on the host, from the plurality of hosts on the network, exploiting one of the determined vulnerabilities of the host; and a centralized correlation server, communicatively coupled with the network at a centrally accessible location, the device profiler and the traffic monitor, the centralized correlation server for receiving the determined vulnerabilities from the device profiler, identifying signatures of network traffic indicating attacks exploiting the determined vulnerabilities, and sending the signatures to the traffic monitor. (emphasis added)

16. A distributed computer network security system for detecting an attack on a host on a network having a plurality of hosts, the system comprising: a device profiler communicatively coupled with the network, the device profiler for identifying characteristics of a host from the plurality of hosts on the network and determining vulnerabilities of the host based on the characteristics **according to a tree-structured vulnerability table**, the device profiler including a low-level sensor for sending anomalous data packets to the host and determining the characteristics based on the host's response to the anomalous data packets; and a traffic monitor, communicatively coupled with the network and the device profiler, and cooperative with the device profiler, for monitoring the network for traffic indicative of an attack on the host, from the plurality of hosts on the network, exploiting one of the determined vulnerabilities of the host. (emphasis added)

Thus, Keanini is not proper prior art under *Dynamic Drinkware, LLC v. National Graphics, Inc.*, 800 F.3d 1375 (Fed. Cir. 2015), as a reference patent is only entitled to claim the benefit of the filing date of its provisional application if the disclosure of the provisional application provides support for the claims in the reference patent in compliance with § 112, ¶ 1. See MPEP 706.

In view of the above, Keanini can only rely on its June 6, 2003 filing date, which post-dates September 27, 2002, a date (but not necessarily the earliest date) as of which the claimed invention in the present application was conceived of and actually reduced to practice. Thus, Keanini is not prior art.

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

Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-4964 (Order No. SP1P012D).

Should the Examiner deem that any further amendment is desirable to place this Application in condition for allowance, Applicant invites the Examiner to telephone the undersigned attorney at the number listed below.

Respectfully submitted,



Dated: 17 May 2019

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UNITED STATES PATENT AND TRADEMARK OFFICE

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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

92045 7590 07/23/2019

The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 2438 | |

| NOTIFICATION DATE | DELIVERY MODE |
|---|---|
| 07/23/2019 | ELECTRONIC |

**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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

eofficeaction@appcoll.com
pcaldwell@thecaldwellfirm.com

| *Office Action Summary* | **Application No.** 15/608,981 | **Applicant(s)** Oliphant et al. | |
|---|---|---|---|
| | **Examiner** MADHURI R HERZOG | **Art Unit** 2438 | **AIA (FITF) Status** No |

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

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☑ Responsive to communication(s) filed on 05/17/2019.

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

2a)☑ This action is **FINAL.** 2b) ☐ This action is non-final.

3)☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

4)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims***

5) ☑ Claim(s) 21-46 and 48-53 is/are pending in the application.

5a) Of the above claim(s) _____ is/are withdrawn from consideration.

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 21-46 and 48-53 is/are rejected.

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

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

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to **PPHfeedback@uspto.gov.**

**Application Papers**

10)☐ The specification is objected to by the Examiner.

11)☐ The drawing(s) filed on _____ 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**

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

**Certified copies:**

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

**Attachment(s)**

1) ☑ Notice of References Cited (PTO-892)

2) ☑ Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b) Paper No(s)/Mail Date 05/17/2019.

3) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date _____.

4) ☐ Other: _____.

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

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

2. The following is a Final Office action in response to communications received on 05/17/2019.

### *Information Disclosure Statement*

3. The information disclosure statement (IDS) submitted on 05/17/2019 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

### *Response to Arguments*

4. Claims 21-46 and 48-53 have been examined.

5. Applicant's arguments filed on 05/17/2019 with respect to the rejection under 35 U.S.C 101 have been fully considered but they are not persuasive. As per the applicant's arguments on pages 2-5 of the Remarks that the claims are eligible under 35 U.S.C 101, the examiner respectfully disagrees. Other than the recitation of one or more processors to perform the limitations, nothing in the claims limitations precludes the limitations from being performed in mind. For example, the limitations of receiving first vulnerability information that is generated from second vulnerability information, generating first vulnerability information based on device configuration and second vulnerability information encompass a user manually identifying device configurations

and generating first vulnerability information utilizing the device configurations and second vulnerability information. Similarly, the limitations of identifying an occurrence, determining that the vulnerability is susceptible to the occurrence and allowing selective utilization of mitigation actions encompass a user manually performing these limitations. Also, the processor is recited at a high-level of generality (*i.e.*, as a generic processor performing a generic computer function) such that it amounts no more than mere instructions to apply the exception using a generic computer component. Accordingly, this additional element does not integrate the abstract idea into a practical application because it does not impose any meaningful limits on practicing the abstract idea.

6. Applicant's arguments filed with respect to the rejection of claims 21, 24, 26, 32, 37, 39, 40, 41, 43 and 45 under pre-AIA 35 U.S.C. 103(a) have been fully considered but they are not persuasive. As per the applicant's arguments that the prior art US 7181769 to Keanini et al is ineligible as prior art since there is no support for the subject matter cited in the previous office action from Keanini in the provisional application 60/338078 that Keanini has claimed priority to, the examiner respectfully disagrees. Applicant stated on page 6 of the Remarks that specifically, "column 6, lines 54-67; column 7, lines 20-25, 49-67; column 10, lines 59-67; column 11, lines 15-25, 53-65; and column 12, lines 1-27" of Keanini have no support in provisional application 60/338078. The examiner respectfully disagrees. US provisional application 60/338078 provides the following support to the cited subject matter:

a. **Column 6, lines 54-57 is supported by**: **Block on Exposure**: Page 4: 3.3: Network Address Translation; **IP360 Concepts Guide Paper**: pages 5-6, Sections 1.3-1.3.2; page 7, section 1.4.1.2; page 9: section 2: device profilers,

page 9-10: section 2.1.1. **White Paper: Continuous Discovery as a Prerequisite for Security**: Page 7-8; **IP360 User Guide**: page 17, page 21-22.

b. **Column 7, lines 20-25, 49-67 is supported by**: **IP360 Concepts Guide Paper**: pages 5-6, Sections 1.3-1.3.2; page 7, section 1.4.1.2; page 9: section 2: device profilers, page 9-10: section 2.1.1; **White Paper: Continuous Discovery as a Prerequisite for Security**: Page 7-8; **White Paper: Monitoring Compliance to Manage Risk: Network Security Policy in Action**: page 8; **IP360 User Guide**: page 17, page 20-22.

c. **Column 10, lines 59-67 is supported by**: **IP360 Concepts Guide Paper**: page 7, section 1.4.1.2; **White Paper: Continuous Discovery as a Prerequisite for Security**: Page 7-8; **IP360 User Guide**: page 17.

d. **Column 11, lines 15-25, 53-65 is supported by**: **Block on Exposure:** Page 5, 4.2, 4th para; 4.2.1- block action taken; Page 7; page 8: 6.1: Action; **IP360 Concepts Guide Paper**: page 8, section 1.4.2.3; pages 10-11, section 2.2.

e. **Column 12, lines 1-27 is supported by**: **IP360 Concepts Guide Paper**: pages 5-6, Sections 1.3-1.3.2; page 7, section 1.4.1.2; page 9: section 2: device profilers, page 9-10: section 2.1.1; **White Paper: Continuous Discovery as a Prerequisite for Security**: Page 7-8; **White Paper: Monitoring Compliance to Manage Risk: Network Security Policy in Action**: page 8; **IP360 User Guide**: page 17, page 21-22.

The documents cited above are present in the US provisional application 60/338078 in the order they have been cited.

***Claim Rejections - 35 USC § 103***

7. The following is a quotation of pre-AIA 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

8. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

9. Claims 21, 24, 26, 32, 37, 39, 40, 41, 43 and 45 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over US 7181769 to Keanini et al (hereinafter Keanini) and US 7509681 to Flowers et al (hereinafter Flowers).

**As per claim 21**, Keanini teaches:

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

receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities, by including: at least one first potential vulnerability, and at least one second potential vulnerability **(Keanini: column 12, lines 1-27: The control module 320 identifies 1050 the total set of vulnerabilities for the host 191 from the vulnerability trees. Next, the control module 320 uses the sensors 345, 355 to verify 1060 the existence of the vulnerabilities on the host 191)**;

said first vulnerability information generated utilizing the second vulnerability information, by: identifying at least one configuration associated with a plurality of devices including a first device, a second device, and a third device **(Keanini: column 6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191)**, and

determining that the plurality of devices is actually vulnerable to at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities **(Keanini: column 6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191 and use the characteristics to determine the host's vulnerabilities. Column 7, lines 49-67: In one embodiment, the rules database module 365 also stores potential vulnerabilities of hosts in one or more tree-like data structures, referred to as "vulnerability trees" 400 (e.g., an application vulnerability tree and an operating system vulnerability tree). The control module 320 is adapted to fire rules in the rules database module 365 that use the high-355 and/or low-level sensors 345 to determine the host's characteristics and use these characteristics to traverse the vulnerability tree 400 and identify potential vulnerabilities at each host 191. Also, column 10, lines 59-67 and column 12, lines 1-27)**;

identify an occurrence in connection with at least one of the plurality of devices **(Keanini: column 11, lines 53-65: The traffic sniffing module 840 monitors network traffic to detect traffic corresponding to attack signatures in the attack signatures**

**module 920. The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures)**;

determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information **(Keanini: column 11, lines 53-65: Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic)**; and

permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices **(Keanini: column 11, lines 15-25: The event daemon module 820 performs a set of actions to block a host's exposure to its vulnerabilities. In one embodiment the event daemon module 820 responds to a notification of vulnerabilities from the device profiler 165. In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs)**;

wherein the at least one configuration involves at least one operating system **(Keanini: column 7, lines 20-25: The low-level sensor 345 identifies operating systems running on hosts 191 and/or other characteristics)**.

Keanini teaches a firewall-based occurrence mitigation type but does not explicitly teach a other occurrence mitigation type. However, Flowers teaches:

a other occurrence mitigation type **(Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-64)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Flowers in the invention of Keanini to include a other occurrence mitigation type. The motivation to do so would be to not only allow an intrusion detection system (IDS) to leverage off the information gathered by the vulnerability detection system (VDS) but also allows a simple way to define rules for use by the vulnerability and intrusion detection systems to check for network conditions, such as vulnerabilities or intrusions (Flowers: column 2, lines 23-30).

**As per claim 24**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only relevant vulnerabilities prompt user selection among the different

occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith **(Keanini: column 6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191 and use the characteristics to determine the host's vulnerabilities. Column 7, lines 49-67: In one embodiment, the rules database module 365 also stores potential vulnerabilities of hosts in one or more tree-like data structures, referred to as "vulnerability trees" 400 (e.g., an application vulnerability tree and an operating system vulnerability tree). The control module 320 is adapted to fire rules in the rules database module 365 that use the high-355 and/or low-level sensors 345 to determine the host's characteristics and use these characteristics to traverse the vulnerability tree 400 and identify potential vulnerabilities at each host 191. Column 9, lines 35-67: The vulnerability tree for operating systems is similar to the application vulnerability tree 400 described above. For example, a top level of the tree can represent an operating system family (e.g., Unix, Windows, and MacOS) and descending levels can represent specific operating systems in each family (e.g., specific to Widows is XP, NT, 2000), operating system versions (e.g., specific to NT is 3.5 and 4.0), and patch levels (specific to 3.5 is Service Pack 1 and Service Pack 2). Also, column 10, lines 59-67 and column 12, lines 1-27)**.

**As per claim 26**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different

occurrence mitigation actions are specific to the at least one actual vulnerability

**(Keanini: column 6, lines 54-67: In operation, the control module 320 identifies hosts 191 on the network and characteristics of the hosts 191 and use the characteristics to determine the host's vulnerabilities. Column 7, lines 49-67: In one embodiment, the rules database module 365 also stores potential vulnerabilities of hosts in one or more tree-like data structures, referred to as "vulnerability trees" 400 (e.g., an application vulnerability tree and an operating system vulnerability tree). The control module 320 is adapted to fire rules in the rules database module 365 that use the high-355 and/or low-level sensors 345 to determine the host's characteristics and use these characteristics to traverse the vulnerability tree 400 and identify potential vulnerabilities at each host 191. Column 11, lines 15-25: The event daemon module 820 performs a set of actions to block a host's exposure to its vulnerabilities. In one embodiment the event daemon module 820 responds to a notification of vulnerabilities from the device profiler 165. In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs)**.

**As per claim 32**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the different occurrence mitigation actions of the

diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action **(Keanini: Column 12, lines 52-67: In one embodiment, the notification is sent to block vulnerabilities that have a high probability of being attacked, or that have a high consequence as a result of being attacked. In response to receiving 1230 notification of malicious activity from a traffic monitor 185, the centralized correlation server 175 performs a set of actions such as configuring the firewall 150 in real-time to block the attack. Column 2, lines 43-62: The rules used by the VDS and IDS are easily formed and therefore, an end user, such as a security or network engineer, can easily define and construct rules beyond any that are defined by the VDS/IDS provider)**.

**As per claim 37**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: based on user input, automatically block the occurrence, to prevent an attack from taking advantage of the at least one actual vulnerability while there is no installation of a patch that removes the at least one actual vulnerability **(Keanini: Column 12, lines 52-67: In one embodiment, the notification is sent to block**

**vulnerabilities that have a high probability of being attacked, or that have a high consequence as a result of being attacked. In response to receiving 1230 notification of malicious activity from a traffic monitor 185, the centralized correlation server 175 performs a set of actions such as configuring the firewall 150 in real-time to block the attack. Column 2, lines 43-62: The rules used by the VDS and IDS are easily formed and therefore, an end user, such as a security or network engineer, can easily define and construct rules beyond any that are defined by the VDS/IDS provider).**

**As per claim 39**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is permitted, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is permitted **(Keanini: column 2, lines 29-37: The control module determines a set of potential vulnerabilities by summing the vulnerabilities at each traversed node. The control module determines whether the vulnerabilities actually exist on the host and sends a list of the verified vulnerabilities to the centralized correlation server. Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will**

**ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 40**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively permitted for different devices prior to the occurrence **(Keanini: Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 41**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that the utilization of the different occurrence mitigation

actions is selectively permitted for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively permitted at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively permitted at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively permitted at the third device in response to the occurrence **(Keanini: column 11, lines 15-33: In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs. Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-64)**.

**As per claim 43**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: determine the occurrence to have a first severity if it is determined that the at least one actual vulnerability of the at least one of the plurality of devices is

susceptible to being taken advantage of by the occurrence; determine the occurrence to have a second severity if it determined that the at least one actual vulnerability of the at least one of the plurality of devices is not susceptible to being taken advantage of by the occurrence; and report the occurrence differently based on whether the occurrence is determined to have the first severity or the second severity **(Keanini: column 2, lines 55-67: A traffic monitor monitors network traffic for attack signatures corresponding to the determined vulnerabilities to detect malicious activity. In one embodiment, the traffic monitor associates attack signatures with the specific destination (e.g., IP address and/or port) having the corresponding vulnerability. The traffic monitor does not signal an attack unless the attack matches the attack signature of an exploit of a vulnerability and is directed to a destination known to have the vulnerability. Column 11, lines 53-65: Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Additionally, the traffic sniffing module 930 is configured to send a notification message to the centralized correlation server 175 in response to detecting an attack signature. Column 12, lines 52-67: In one embodiment, the notification is sent to block vulnerabilities that have a high probability of being attacked, or that have a high consequence as a result of being attacked)**.

**As per claim 45**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type **(Flowers: column 2, lines 22-40: Intrusion detection system (IDS))**.

10. Claims 22, 23, 25, 27, 28, 30, 33-36, 38, 42, 44, 46 and 48-53 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Keanini in view of Flowers as applied to claim 21 above, and further in view of US 20050235360 to Sterling Michael Pearson (hereinafter Pearson).

**As per claim 22**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality. However, Pearson teaches:

wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the**

**communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 23**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device. However, Pearson teaches:

wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the**

**firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device. The motivation to do so would be to remotely configure and

monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 25**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user **(Flowers: column 4, lines 1-15: Such a Target-based IDS will have the ability to monitor for specific conditions to which the network has been determined to be vulnerable, as well as any range of conditions or attacks to which the network might be vulnerable. For instance, if the VDS finds a type of service S, but has not verified S's vulnerability to a buffer overflow condition, the IDS may still monitor for such a buffer overflow. So if a vulnerability V is identified, the intrusion detection system is target-based by virtue of the fact that it monitors the system running with vulnerability V, it monitors for attacks on V, and it monitors for attacks that make sense to look for given the presence of V)**.

Keanini in view of Flowers does not explicitly teach: one or more options are provided to a user and only relevant occurrence mitigation actions are available for selection by the user. However, Pearson teaches:

one or more options are provided to a user and only relevant occurrence mitigation actions are available for selection by the user **(Pearson: [0063] The user**

**may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include one or more options are provided to a user and only relevant occurrence mitigation actions are available for selection by the user. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 27**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the

different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence. However, Pearson teaches:

wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy**

**that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user- selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 28**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being supplemented by the second occurrence mitigation action of the other occurrence mitigation type at the first device **(Keanini: column 11, lines 15-25: In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. Flowers: Abstract: alerts the user to potential intrusions that could actually affect the particular network. Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

**As per claim 30**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 27, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

**As per claim 33**, Keanini in view of Flowers does not teach: wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports

at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options. However, Pearson teaches:

wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy**

**that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 34**, Keanini in view of Flowers does not teach: wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. However. Pearson teaches:

wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected**

**security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions, when executed by the one or more processors, cause the one or more processors to: display at least two options for selecting the different occurrence mitigation actions, utilizing at least one user interface; receive a first user input selecting a first one of the options, utilizing the at least one user interface; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input selecting a second one of the options, utilizing the at least one user interface; and based on the second user input, automatically apply a

second one of the different occurrence mitigation actions of the other occurrence mitigation type. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 35**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 34, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality **(Keanini: column 12, lines 52-67: In response to receiving 1230 notification of malicious activity from a traffic monitor 185, the centralized correlation server 175 performs a set of actions such as configuring the firewall 150 in real-time to block the attack. Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-67 and column 4, lines 1-15: So if a vulnerability V is identified, the intrusion detection system is target-based by virtue of the fact that it monitors the system running with vulnerability V, it monitors for attacks on V, and it monitors for attacks that make sense to look for given the presence of V)**.

**As per claim 36**, Keanini in view of Flowers does not teach: wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences. However, Pearson teaches:

wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the**

**advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 38**, Keanini in view of Flowers teaches:

The non-transitory computer-readable media of Claim 21, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device **(Keanini:**

**column 11, lines 53-65)**; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence packet to determine whether a first actual vulnerability of the first device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one first occurrence packet **(Keanini: column 11, lines 53-65. Flowers: column 3, line 55-column 4, line 15)**, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one second occurrence packet **(Keanini: column 11, lines 53-65. Flowers: column 3, line 55-column 4, line 15)**; and the permitting the selective utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface **(Keanini: column 11, lines 15-25 and column 10, lines 3-10. Flowers: column 2, lines 42-47)**; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device **(Keanini: column 12, lines 52-67)**; and wherein the instructions are configured such that a second occurrence mitigation action

of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device **(Flowers: column 3, line 55-column 4, line 15)**.

Keanini in view of Flowers does not explicitly teach based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall- based occurrence mitigation type is completed. However, Pearson teaches:

based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall- based occurrence mitigation type is completed **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. Also, [0065], [0049])**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of

Keanini in view of Flowers to include based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall- based occurrence mitigation type is completed. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 42**, Keanini in view of Flowers does not teach: wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability. However, Pearson teaches:

wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in**

**accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 44**, Keanini in view of Flowers teaches a firewall-based occurrence mitigation type and intrusion prevention system-based occurrence mitigation type but does not explicitly teach: wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input;

and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. However, Pearson teaches:

wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known**

**manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 46**, Keanini in view of Flowers does not teach: wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type. However, Pearson teaches:

wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type **(Pearson: [0016] The remote computer retains the queued software patches until it receives a request to configure the communication device. Predetermined configuration information, which may include these queued software patches, is transmitted to the communication device in response to receiving that request to configure. Upon receiving the request to configure, the**

**remote computer transmits the configuration information to the communication device via an encrypted channel)**.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Pearson in the invention of Keanini in view of Flowers to include wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type. The motivation to do so would be to remotely configure and monitor a communication device, for example a firewall, an intrusion detection device, or similar Internet appliance (Pearson: [0008]).

**As per claim 48**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 38, wherein the instructions are configured such that at least one of: said at least one first data storage includes at least one first database; said at least one second data storage includes at least one second database **(Keanini: column 5, lines 26-33)**; said second vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith **(Keanini: column 12, lines 40-52)**; said second vulnerability information includes accurately identified vulnerability information; said second vulnerability information includes actual vulnerability information **(Keanini: column 2, lines 29-37)**; said first vulnerability information is generated via a vulnerability scan operation **(Keanini: column 7, lines 1-7)**; said first vulnerability information includes potential vulnerability information **(Keanini: column 2, lines 29-37)**; said first device, said second device, and said third device are part of the

same group **(Keanini: column 4, lines 5-25)**; said at least one configuration includes at least one of configuration data, configuration information, or a configuration status; said at least one configuration includes at least one of a configuration option, a policy setting, or a patch **(Keanini: column 10, lines 5-10. Flowers: column 2, lines 43-47)**; said at least one configuration is identified via user input in connection with at least one setting **(Keanini: column 10, lines 5-10. Flowers: column 2, lines 43-47)**; said occurrence mitigation by preventing advantage being taken includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that takes advantage of the at least one actual vulnerability **(Keanini: column 12, lines 52-67)**; said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall **(Keanini: column 12, lines 52-67)**; said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of

the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said at least one actual vulnerability includes the at least one operating system **(Keanini: column 9, lines 45-65)**; said actual vulnerabilities include the at least one actual vulnerability **(Keanini: column 2, lines 4-16)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which includes the at least one

operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; said different occurrence mitigation actions include different remediation actions **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack **(Keanini: column 11, lines 43-65)**; said user input includes separate user input for selecting the first occurrence mitigation action and the second occurrence mitigation action **(Pearson: [0063], [0065], [0049]);** said first signal and thee second signal include at least one of response signals, or signals sent in response to a query signal **(Keanini: column 11, lines 43-65 and column 12, lines 52-67)**; said first component with the firewall type functionality includes at least one of a firewall, a gateway with the firewall type functionality, a router with the firewall type functionality, a sensor with the

firewall type functionality, or a multiple-security product system with the firewall type functionality **(Keanini: column 12, lines 52-67)**; said preventing includes at least one of rejecting a request, disallowing an attempt, dropping at least one packet, blocking a potential attack, redirecting a request, setting a policy, affecting a service, changing a configuration option, or installing a patch; or said automatic response includes a real-time response **(Keanini: column 12, lines 52-67)**.

**As per claim 49**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that each of: said at least one first data storage includes at least one first database; said at least one second data storage includes at least one second database **(Keanini: column 5, lines 26-33)**; said second vulnerability information is received from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom, communicating therewith, or synchronizing therewith **(Keanini: column 12, lines 40-52)**; said first vulnerability information is generated via a vulnerability scan operation **(Keanini: column 7, lines 1-7)**; said first vulnerability information identifies at least one actual vulnerability **(Keanini: column 2, lines 4-16)**; said first vulnerability information includes at least one of a vulnerability identifier or information associated with one or more of the actual vulnerabilities **(Keanini: column 5, lines 25-40)**; said first device, said second device, and said third device are part of the same group **(Keanini: column 4, lines 5-25)**; said at least one configuration includes at least one of configuration data, configuration information, or a configuration status **(Keanini: column 10, lines 5-10.**

**Flowers: column 2, lines 43-47)**; said at least one configuration includes at least one of a configuration option, a policy setting, or a patch **(Keanini: column 10, lines 5-10. Flowers: column 2, lines 43-47)**; said at least one configuration for being utilized for identifying the at least one operating system or an application **(Keanini: column 7, lines 20-25)**; said at least one configuration is identified utilizing information regarding the at least one operating system or an application **(Keanini: column 7, lines 20-25)**; said at least one configuration is identified via user input in connection with at least one setting **(Keanini: column 10, lines 5-10)**; said occurrence mitigation includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that takes advantage of the at least one actual vulnerability; said firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall **(Keanini: column 12, lines 52-67)**; said other occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing intrusion prevention system functionality, or a type that mitigates the occurrence utilizing an intrusion prevention system **(Flowers: Abstract, column 3, line 55-column 4, line 15)**; said different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation

actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices **(Keanini: column 11, lines 15-25 and column 12, lines 52-67)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability **(Keanini: column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said at least one actual vulnerability is the at least one operating system **(Keanini: column 9, lines 45-65)**; said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of

devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which is the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused after the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; one or more of said different occurrence mitigation actions is caused before the occurrence to selectively utilize the different occurrence mitigation actions of the diverse occurrence mitigation types **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said different occurrence mitigation actions include different remediation actions; said different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of said different occurrence mitigation actions **(Keanini: column 9, lines 45-65, column 11, lines 15-25, 53-65 and column 12, lines 52-67. Flowers: Abstract)**; said occurrence includes at least one of a request, traffic, at least one packet, or a potential attack **(Keanini: column 11, lines 43-65)**; said at least one actual vulnerability includes at least one of the potential vulnerabilities to which the plurality of devices is determined to be actually vulnerable based on the identified at least one configuration **(Keanini: column 2, lines 29-37, column 20-65)**; said at least one configuration includes at least one of: service pack information, one or more elements contained in files including at

least one of an *.ini or *.conf file, registry information, identification of the at least one operating system, identification of a software version, or identification of software **(Keanini: column 7, lines 8-46)**; said determining that the plurality of devices is actually vulnerable to the at least one actual vulnerability includes at least one of: matching the identified at least one configuration with a guideline associated with at least one update, or cross-referencing an identifier with the identified at least one configuration **(Keanini: column 7, lines 49-67 and column 8, lines 27-56)**; said non-transitory computer-readable media includes a single non-transitory computer readable medium; one or more of said different occurrence mitigation actions, after a user selection, is automatically applied at a later time **(Pearson: [0063], [0065], [0049])**; one or more of said different occurrence mitigation actions puts a policy in place for being utilized at a later time; one or more of said different occurrence mitigation actions, after an automatic application thereof, is utilized at a later time for the occurrence mitigation **(Keanini: column 12, lines 52-67. Flowers: column 3, lines 55-67)**; one of said different occurrence mitigation actions of the other occurrence mitigation type utilizes an intrusion prevention system to deploy a patch **(Flowers: column 3, lines 55-67. Pearson: [0015])**; one of said different occurrence mitigation actions of the firewall-based occurrence mitigation type utilizes a firewall to deploy a patch utilizing an update component **(Keanini: column 12, lines 52-67. Pearson: [0015])**; and wherein the instructions are configured for use with at least one NOC server, a data warehouse, and an SDK for allowing access to information associated with at least one vulnerability and at least one remediation **(Keanini: column 12, lines 52-67)**, and wherein the instructions are configured for determining which devices have vulnerabilities by directly

querying a firmware or operating system of the devices **(Keanini: column 7, lines 8-46)**.

**As per claim 50**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that which of the different occurrence mitigation actions for which selective utilization is caused, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is caused **(Keanini: column 2, lines 29-37: The control module determines a set of potential vulnerabilities by summing the vulnerabilities at each traversed node. The control module determines whether the vulnerabilities actually exist on the host and sends a list of the verified vulnerabilities to the centralized correlation server. Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 51**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively caused for different devices prior to the occurrence **(Keanini: Column 11, lines 53-65: The traffic sniffing module 840 analyzes network traffic to identify patterns matching the attack signatures. Preferably, the traffic sniffing module 840 uses the subsets of attack signatures to monitor for only exploits of vulnerabilities present at the destination of the traffic. Thus, the traffic sniffing module 840 will ignore an attack signature directed to a destination (e.g., IP address and/or port) that is not vulnerable to the exploit. Column 12, lines 52-67: In response to receiving 1210 a notification related to vulnerabilities sent by the device profiler 165, the event daemon module 820 performs a set of actions such as configuring 1220 the firewall 150 to prevent the attack)**.

**As per claim 52**, Keanini in view of Flowers and Pearson teaches:

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

second occurrence mitigation action being selectively caused at the third device in response to the occurrence **(Keanini: column 11, lines 15-33: In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191, and/or preventing the operating systems and/or applications from executing programs. Flowers: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-64)**.

**As per claim 53**, Keanini in view of Flowers and Pearson teaches:

The non-transitory computer-readable media of Claim 23, wherein the instructions, when executed by the one or more processors, cause the one or more processors to: receive a first user input; based on the first user input, automatically apply a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type; receive a second user input; and based on the second user input, automatically apply a second one of the different occurrence mitigation actions of the other occurrence mitigation type **(Pearson: [0063] The user may easily configure the security policy for communication device 106 by selecting one of the radio buttons, and then clicking the submit button 224. As will be described in more detail below with reference to FIG. 11, the user-selected security level is utilized**

**to configure the firewall and intrusion detection features of communication device 106 in accordance with the user's preferences, to carry out predetermined responses to certain predetermined threats. For example, a high security level may be a policy that monitors for any type of file transfer protocol (ftp) communication received from any source, and responds to such ftp communication by terminating the communication. [0065] Preferably, the advanced options information display area 325 provides a selectable option or intrusion rule for each listed attack so that the user may configure the communication device 106 to monitor selected types of communications and to establish a security level or policy for each. [0049]: Accordingly, in the disclosed embodiment the firewall 162 may be of a conventional type, used in the known manner, for shielding the LAN 104 from communications traffic determined by the firewall to be excluded)**.

11. Claims 29 and 31 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Keanini in view of Flowers and Pearson as applied to claim 27 above, and further in view of prior art of record US 20030126472 to Carl Banzhof (hereinafter Banzhof).

**As per claim 29**, Keanini in view of Flowers and Pearson teaches reporting of the occurrence but does not teach: wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action

of the other occurrence mitigation type being rolled back at the third device. However, Banzhof teaches:

wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device (**Banzhof: [0031]: In box 86, the client user, typically an IT person or other computer security personnel, is given the opportunity to select which vulnerabilities should be remediated. Alternatively, a particular vulnerability could be deselected for all target client computers, such that the vulnerability would not be remediated on any of the target computers, perhaps because the vulnerability does not pose a sufficient security risk, the remediation signature is deemed too risky, etc. [0032]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the client computer, or because the remediation actions had unintended deleterious effects, etc., then the remediation can be rolled back or undone and the remediation process can be repeated as indicated in box 99).**

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Keanini in view of Flowers and Pearson to include wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence

mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

**As per claim 31**, Keanini in view of Flowers and Pearson teaches reporting of the occurrence but does not teach: wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device. However, Banzhof teaches:

wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device (Banzhof: [0031]: In box 86, the client user, typically an IT person or other computer security personnel, is given the opportunity to select which vulnerabilities should be remediated. Alternatively, a particular vulnerability could be deselected for all target client computers, such that the vulnerability would not be remediated on any of the target computers, perhaps because the vulnerability does not pose a

**sufficient security risk, the remediation signature is deemed too risky, etc. [0032]: If the remediation is not deemed successful, either because it did not resolve the identified vulnerabilities as evidenced by an additional security scan of the client computer, or because the remediation actions had unintended deleterious effects, etc., then the remediation can be rolled back or undone and the remediation process can be repeated as indicated in box 99).**

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teachings of Banzhof in the invention of Keanini in view of Flowers and Pearson to include wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device. The motivation to do so would be to provide for a more automated and managed way to remediate security vulnerabilities on individual computers and computer networks (Banzhof: [0007]).

***Conclusion***

12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

US 20030204632 to Willebeek-LeMair et al: A network discovery functionality, intrusion detector functionality and firewalling functionality are integrated together to

form a network security system presenting a self-deploying and self-hardening security defense for a network.

US 20070011319 to McClure et al: A system and method provide comprehensive and highly automated testing of vulnerabilities to intrusion on a target network, including identification of operating system, identification of target network topology and target computers, identification of open target ports, assessment of vulnerabilities on target ports, active assessment of vulnerabilities based on information acquired from target computers, quantitative assessment of target network security and vulnerability, and hierarchical graphical representation of the target network, target computers, and vulnerabilities in a test report.

13. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

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

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

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on (571)272-3787. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MADHURI R. HERZOG
Primary Examiner
Art Unit 2438

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

| Notice of References Cited | Application/Control No. 15/608,981 | Applicant(s)/Patent Under Reexamination Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | Page 1 of 1 |

**U.S. PATENT DOCUMENTS**

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Name | CPC Classification | US Classification |
|---|---|---|---|---|---|---|
| * | A | US-20030204632-A1 | 10-2003 | Willebeek-LeMair, Marc | H04L29/06 | 709/249 |
| * | B | US-20070011319-A1 | 01-2007 | McClure; Stuart C. | G02B6/105 | 709/224 |
| | C | | | | | |
| | D | | | | | |
| | E | | | | | |
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**FOREIGN PATENT DOCUMENTS**

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Country | Name | CPC Classification |
|---|---|---|---|---|---|---|
| | N | | | | | |
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**NON-PATENT DOCUMENTS**

| * | | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
|---|---|---|
| | U | |
| | V | |
| | W | |
| | X | |

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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

**CLAIMS**

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

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | 07/18/2019 | | | | | |
| | 1 | - | - | - | - | | | | | |
| | 2 | - | - | - | - | | | | | |
| | 3 | - | - | - | - | | | | | |
| | 4 | - | - | - | - | | | | | |
| | 5 | - | - | - | - | | | | | |
| | 6 | - | - | - | - | | | | | |
| | 7 | - | - | - | - | | | | | |
| | 8 | - | - | - | - | | | | | |
| | 9 | - | - | - | - | | | | | |
| | 10 | - | - | - | - | | | | | |
| | 11 | - | - | - | - | | | | | |
| | 12 | - | - | - | - | | | | | |
| | 13 | - | - | - | - | | | | | |
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| | 20 | - | - | - | - | | | | | |
| | 21 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 22 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 23 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 24 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 25 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 26 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 27 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 28 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 29 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 30 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 31 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 32 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 33 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 34 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 35 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 36 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 37 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 38 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 39 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 40 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 41 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 42 | ✓ | ✓ | ✓ | ✓ | | | | | |

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
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| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | 07/18/2019 | | | | | |
| | 43 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 44 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 45 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 46 | ✓ | ✓ | ✓ | ✓ | | | | | |
| | 47 | ✓ | - | - | - | | | | | |
| | 48 | | ✓ | ✓ | ✓ | | | | | |
| | 49 | | | ✓ | ✓ | | | | | |
| | 50 | | | ✓ | ✓ | | | | | |
| | 51 | | | ✓ | ✓ | | | | | |
| | 52 | | | ✓ | ✓ | | | | | |
| | 53 | | | ✓ | ✓ | | | | | |

| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | Examiner | Art Unit |
| | MADHURI R HERZOG | 2438 |

| CPC - Searched* | | |
|---|---|---|
| Symbol | Date | Examiner |
| H04L 63/02$, 63/14$, 63/20$ | 07/18/2019 | M.H |
| G06F 21/5$ | 07/18/2019 | M.H |

| CPC Combination Sets - Searched* | | |
|---|---|---|
| Symbol | Date | Examiner |
| | | |

| US Classification - Searched* | | | |
|---|---|---|---|
| Class | Subclass | Date | Examiner |
| | | | |

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

| Search Notes | | |
|---|---|---|
| Search Notes | Date | Examiner |
| Inventor search, Assignee search | 07/18/2019 | M.H |
| East search | 07/18/2019 | M.H |

| Interference Search | | | |
|---|---|---|---|
| US Class/CPC Symbol | US Subclass/CPC Group | Date | Examiner |
| | | | |

| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
|---|---|

**EAST Search History**

**EAST Search History (Prior Art)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
|---|---|---|---|---|---|---|
| L1 | 2025 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or examin$6 or analy$4 or scan$4 or prob$4) with (host or client or device or machine or equipment) with (operating near2 system or os) and (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or examin$6 or analy$4 or scan$4 or prob$4) with (host or client or device or machine or equipment) with (vulnerabilit$4 or exploit$4) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/07/18 10:02 |
| L2 | 305 | L1 and (vulnerabilit$4 or exploit$4) with (specific or pertinent or applicable or relevan$4 or characteristic or typical$3 or representative) with (operating system or os or (device or host or node or terminal or equipment or machine) near5 (profile or configuration)) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/07/18 10:04 |
| L3 | 279 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and L2 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/07/18 10:05 |
| L4 | 265 | L3 and (firewall or ids or intrusion$4detection$4system or ips or intrusion$4prevention$4system) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2019/07/18 10:07 |

**EAST Search History (Interference)**

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Forcepoint LLC
EX-1002
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| Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office<br>**Information Disclosure Statement by Applicant**<br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) | Attorney Docket No.<br>SP1P012D | Application No.<br>15/608,981 |
|---|---|---|
| | Inventor<br>Brett M. Oliphant | Confirmation Number<br>9076 |
| | Filing Date<br>05/30/2017 | Group Art Unit<br>2438 |

**U.S. Patent Documents**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
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**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 |
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**Other Documents (include Author, Title, Date, and Place of Publication)**

| Examiner Initial | Desig. ID | Document |
|---|---|---|
| | A | Notice of Allowance for US Pat Appl No 15608983 dated 02-04-2019 |
| | | |
| | | |
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/MADHURI R HERZOG/ 07/18/2019



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

| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney Docket No. SP1P012D | Application No. 15/608,981 |
|---|---|---|---|
| **Information Disclosure Statement by Applicant** (Use several sheets if necessary) | | Inventor Brett M. Oliphant | Confirmation Number 9076 |
| (37 CFR §1.98(b)) | | Filing Date 05/30/2017 | Group Art Unit 2438 |

## 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).

☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed _____ and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

☐ See attached certification statement.

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

☒ A certification statement is not submitted herewith.

## SIGNATURE

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2019-05-17 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |



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

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 36707020 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 26-JUL-2019 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 23:35:36 |
| **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 | Response After Final Action | SP1P012D_AmendmentD_vF_26-Jul-2019.pdf | 103688<br>260e44b0c88e63e923a6ed8a5d3a65847324208c | no | 8 |

**Warnings:**

| Information: | |
|---|---|
| Total Files Size (in bytes): | 103688 |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**
**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**
**National Stage of an International Application under 35 U.S.C. 371**
**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**
**New International Application Filed with the USPTO as a Receiving Office**
**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: July 26, 2019 |

**AMENDMENT D**

Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1
450

Examiner:

In response to the Office Action mailed 07/23/19, please enter the following.



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EX-1002
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**Remarks:**

Claims 21-46 and 48-53 are rejected under 35 U.S.C. 101 because the claimed invention is directed to an abstract idea without significantly more. Specifically, in the latest Office Action mailed 7/23/2019, the Examiner argues that "[o]ther than the recitation of one or more processors to perform the limitations, nothing in the claims limitations precludes the limitations from being performed in mind." Applicant respectfully disagrees.

Argument #1

First, with respect to Claim 21, for example, the following emphasized claim terms can NOT be performed in mind:

> "**identify an occurrence in connection with at least one of the plurality of devices;**
> **determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information**; and
> permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for **occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices**" (emphasis added).

Clearly, a person's "mind" cannot: determine that at least one accurately identified vulnerability is susceptible to being taken advantage of by an occurrence identified, utilizing the first vulnerability information; and prevent advantage being taken of accurately identified vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across devices, in the specific context claimed.

In a similar context in *SRI International, Inc. v. Cisco Systems, Inc.* (Fed. Cir. 2019), the Federal Circuit confirmed the District Court's Step One determination that "claim 1 is not directed to an abstract idea" because the "claims are directed to using a specific technique—using a plurality

of network monitors that each analyze specific types of data on the network and integrating reports from the monitors—to solve a technological problem arising in computer networks: **identifying hackers or potential intruders into the network**" (emphasis added).

In explanation, the Federal Circuit opinion states:

> "…the claims here are not directed to using a computer as a tool—that is, automating a conventional idea on a computer. Rather, the representative claim improves the technical functioning of the computer and computer networks by reciting a specific technique for improving computer network security.
>
> Indeed, **we tend to agree with [Plaintiff] that the human mind is not equipped to detect suspicious activity by using network monitors and analyzing network packets** ..." (emphasis added).

Thus, similar to *SRI International*, the current claims recite security-related activity that simply cannot be performed by the human mind, and, thus, the current claims are not directed to an abstract idea.

Argument #2

Second, it appears the Examiner *did not even address* applicant's arguments with respect to Step 2 of the *Alice* test.

Specifically, in the present application, even if the Examiner were to conclude that the claims fall within the appropriate groupings of abstract ideas, the claims in the present application include one or more additional elements that extend beyond the judicial exception(s) and integrate the exception into a practical application. See the highlighted language below, just by way of example in the context of Claim 21, that represents an *improvement in the functioning of a computer* or *technical field* so as to *render the same* a *particular machine* (or method for operating the same) in a *particular technological environment.*

> "21. A non-transitory computer-readable media storing instructions that, when executed by one or more processors, cause the one or more processors to:

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

at least one first potential vulnerability, and

at least one second potential vulnerability;

said first vulnerability information generated utilizing the second vulnerability information, by:

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

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

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

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

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

wherein the at least one configuration involves **at least one operating system**." (emphasis added)

Further, applicant respectfully notes that, in the recent USPTO Guidance, the USPTO indicated, for Step 2 of the *Alice* test, that if the Examiner concludes, under the Guidance, that an additional element is insignificant extra-solution activity, they should reevaluate that conclusion in Step 2 of the *Alice* test. If such reevaluation indicates that the element is *unconventional or otherwise more than what is well-understood, routine, conventional activity in the field*, this finding may indicate that an inventive concept is present and that the claim is thus eligible.

In the present case, even if the Examiner concludes that the above-highlighted elements are insignificant extra-solution activity, they are indeed unconventional or otherwise more than what is well-understood, routine, conventional activity in the field, for at least the reason that

the claim elements, individually and in combination, are not found in the prior art. Further, as evidenced below, the Examiner's cited art is not even prior art.

Claims 21, 24, 26, 32, 37, 39, 40, 41, 43 and 45 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over US 7181769 to Keanini et al (hereinafter Keanini) and US 7509681 to Flowers et al (hereinafter Flowers). Specifically, in the latest Office Action mailed 7/23/2019, the Examiner argues that "US provisional application 60/338078 provides … support to the cited subject matter." Applicant respectfully disagrees.

Argument #1

In particular, with respect to Claim 21, the Examiner appears to rely on "Block on Exposure: Page 5, 4.2, 4th para; 4.2.1- block action taken; Page 7; page 8: 6.1: Action; IP360 Concepts Guide Paper: page 8, section 1.4.2.3; pages 10-11, section 2.2." to make a prior art showing of applicant's claimed technique to "permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices."

In doing so, the Examiner admits that "Keanini teaches a firewall-based occurrence mitigation type but does not explicitly teach a other occurrence mitigation type." However, simply disclosing a firewall in the forgoing Keanini excerpts does not meet applicant's claimed technique to "**permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types**, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities **utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices**," in the specific context claimed (emphasis added).

To establish a prima facie case of obviousness, three basic criteria must be met. First, there must be some suggestion or motivation, either in the references themselves or in the knowledge generally available to one of ordinary skill in the art, to modify the reference or to combine reference teachings. Second, there must be a reasonable expectation of success. Finally, the prior art reference (or references when combined) must teach or suggest all the claim limitations. The teaching or suggestion to make the claimed combination and the reasonable expectation of success must both be found in the prior art and not based on applicant's disclosure. *In re Vaeck*, 947 F.2d 488, 20 USPQ2d 1438 (Fed.Cir.1991).

Applicant respectfully asserts that at least the third element of the prima facie case of obviousness has not been met, since the prior art excerpts, as relied upon by the Examiner, fail to teach or suggest all of the claim limitations, as noted above. With respect to the other independent claims, applicant respectfully asserts that such claims are deemed allowable for reasons similar, but not necessarily identical, to one or more of the aforementioned reasons (see each claim for specific claim language contained therein).

Argument #2

Second, it appears the Examiner *did not even address* applicant's arguments that Keanini does not include a claim that is actually entitled to the benefit of priority of the provisional application. See the combination of terms highlighted from the independent claims from Keanini below:

> 1. A distributed computer network security system for detecting an attack on a host on a network having a plurality of hosts, the system comprising: a device profiler communicatively coupled with the network, the device profiler for identifying characteristics of a host from the plurality of hosts on the network and determining vulnerabilities of the host based on the characteristics **according to a tree-structured vulnerability table**; and a traffic monitor, communicatively coupled with the network and the device profiler, and cooperative with the device profiler, for monitoring the network for traffic indicative of an attack on the host, from the plurality of hosts on the network, exploiting one of the determined vulnerabilities of the host, wherein a determined vulnerability pertains to a specific location and wherein the traffic monitor

monitors for exploits of the determined vulnerability directed to the location and ignores exploits of the determined vulnerability directed to locations to which the determined vulnerability does not pertain. (emphasis added)

9. A distributed computer network security system for detecting an attack on a host on a network having a plurality of hosts, the system comprising: a device profiler communicatively coupled with the network, the device profiler for identifying characteristics of a host from the plurality of hosts on the network and determining vulnerabilities of the host based on the characteristics **according to a tree-structured vulnerability table**; a traffic monitor, communicatively coupled with the network and the device profiler, and cooperative with the device profiler, for monitoring the network for traffic indicative of an attack on the host, from the plurality of hosts on the network, exploiting one of the determined vulnerabilities of the host; and a centralized correlation server, communicatively coupled with the network at a centrally accessible location, the device profiler and the traffic monitor, the centralized correlation server for receiving the determined vulnerabilities from the device profiler, identifying signatures of network traffic indicating attacks exploiting the determined vulnerabilities, and sending the signatures to the traffic monitor. (emphasis added)

16. A distributed computer network security system for detecting an attack on a host on a network having a plurality of hosts, the system comprising: a device profiler communicatively coupled with the network, the device profiler for identifying characteristics of a host from the plurality of hosts on the network and determining vulnerabilities of the host based on the characteristics **according to a tree-structured vulnerability table**, the device profiler including a low-level sensor for sending anomalous data packets to the host and determining the characteristics based on the host's response to the anomalous data packets; and a traffic monitor, communicatively coupled with the network and the device profiler, and cooperative with the device profiler, for monitoring the network for traffic indicative of an attack on the host, from the plurality of hosts on the network, exploiting one of the determined vulnerabilities of the host. (emphasis added)

Thus, Keanini is not proper prior art under *Dynamic Drinkware, LLC v. National Graphics, Inc.*, 800 F.3d 1375 (Fed. Cir. 2015), as a reference patent is only entitled to claim the benefit of the filing date of its provisional application if the disclosure of the provisional application provides support for the claims in the reference patent in compliance with § 112, ¶ 1. See MPEP 706.

In view of the above, Keanini can only rely on its June 6, 2003 filing date, which post-dates September 27, 2002, a date (but not necessarily the earliest date) as of which the claimed

invention in the present application was conceived of and actually reduced to practice. Thus, Keanini is not prior art.

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

Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-4964 (Order No. SP1P012D).

Should the Examiner deem that any further amendment is desirable to place this Application in condition for allowance, Applicant invites the Examiner to telephone the undersigned attorney at the number listed below.

Respectfully submitted,



Dated: 26 Jul 2019

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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

92045 7590 08/13/2019

The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 2438 | |

| NOTIFICATION DATE | DELIVERY MODE |
|---|---|
| 08/13/2019 | ELECTRONIC |

**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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

eofficeaction@appcoll.com
pcaldwell@thecaldwellfirm.com

| ***Advisory Action Before the Filing of an Appeal Brief*** | **Application No.** 15/608,981 | **Applicant(s)** Oliphant et al. | |
|---|---|---|---|
| | **Examiner** MADHURI R HERZOG | **Art Unit** 2438 | **AIA (FITF) Status** No |

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

THE REPLY FILED 26 July 2019 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE.

NO NOTICE OF APPEAL FILED

1. ☑ The reply was filed after a final rejection. No Notice of Appeal has been filed. To avoid abandonment of this application, applicant must timely file one of the following replies: (1) an amendment, affidavit, or other evidence, which places the application in condition for allowance; (2) a Notice of Appeal (with appeal fee) in compliance with 37 CFR 41.31; or (3) a Request for Continued Examination (RCE) in compliance with 37 CFR 1.114 if this is a utility or plant application. Note that RCEs are not permitted in design applications. The reply must be filed within one of the following time periods:
   a) ☐ The period for reply expires ____ months from the mailing date of the final rejection.
   b) ☑ The period for reply expires on: (1) the mailing date of this Advisory Action; or (2) the date set forth in the final rejection, whichever is later. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection.
   c) ☐ A prior Advisory Action was mailed more than 3 months after the mailing date of the final rejection in response to a first after-final reply filed within 2 months of the mailing date of the final rejection.The current period for reply expires ____ months from the mailing date of *the prior Advisory Action* or SIX MONTHS from the mailing date of the final rejection, whichever is earlier.
   *Examiner Note*: If box 1 is checked, check either box (a), (b) or (c). ONLY CHECK BOX (b) WHEN THIS ADVISORY ACTION IS THE FIRST RESPONSE TO APPLICANTS FIRST AFTER-FINAL REPLY WHICH WAS FILED WITHIN TWO MONTHS OF THE FINAL REJECTION. ONLY CHECK BOX (c) IN THE LIMITED SITUATION SET FORTH UNDER BOX (c). See MPEP 706.07(f).

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) as set forth in (b) or (c) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

NOTICE OF APPEAL

2. ☐ The Notice of Appeal was filed on _____. A brief in compliance with 37 CFR 41.37 must be filed within two months of the date of filing the Notice of Appeal (37 CFR 41.37(a)), or any extension thereof (37 CFR 41.37(e)), to avoid dismissal of the appeal. Since a Notice of Appeal has been filed, any reply must be filed within the time period set forth in 37CFR 41.37(a).

AMENDMENTS

3. ☐ The proposed amendments filed after a final rejection, but prior to the date of filing a brief, will not be entered because
   a) ☐ They raise new issues that would require further consideration and/or search (see NOTE below);
   b) ☐ They raise the issue of new matter (see NOTE below);
   c) ☐ They are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or
   d) ☐ They present additional claims without canceling a corresponding number of finally rejected claims.
   NOTE: _____ (See 37CFR 1.116 and 41.33(a)).
4. ☐ The amendments are not in compliance with 37CFR 1.121. See attached Notice of Non-Compliant Amendment (PTOL-324).
5. ☐ Applicants reply has overcome the following rejection(s): _____
6. ☐ Newly proposed or amended claim(s) _____ would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).
7. ☑ For purposes of appeal, the proposed amendment(s):(a)☐ will not be entered, or (b)☑ will be entered, and an explanation of how the new or amended claims would be rejected is provided below or appended.

AFFIDAVIT OR OTHER EVIDENCE

8. ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____
9. ☐ The affidavit or other evidence filed after final action, but before or on the date of filing a Notice of Appeal will not be entered because applicant failed to provide a showing of good and sufficient reasons why the affidavit or other evidence is necessary and was not earlier presented. See 37 CFR 1.116(e).
10. ☐ The affidavit or other evidence filed after the date of filing the Notice of Appeal, but prior to the date of filing a brief, will not be entered because the affidavit or other evidence failed to overcome all rejections under appeal and/or appellant fails to provide a showing of good and sufficient reasons why it is necessary and was not earlier presented. See 37 CFR 41.33(d)(1).
11. ☐ The affidavit or other evidence is entered. An explanation of the status of the claims after entry is below or attached.

REQUEST FOR RECONSIDERATION/OTHER

12. ☑ The request for reconsideration has been considered but does NOT place the application in condition for allowance because: See Continuation Sheet.
13. ☐ Note the attached Information *Disclosure Statement*(s). (PTO/SB/08) Paper No(s). _____
14. ☐ Other: _____.

STATUS OF CLAIMS

15. The status of the claim(s) is (or will be) as follows:
    Claim(s) allowed:_____.
    Claim(s) objected to:_____.
    Claim(s) rejected:21-46 and 48-53.
    Claim(s) withdrawn from consideration:_____.

| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
|---|---|

Continuation of REQUEST FOR RECONSIDERATION/OTHER 12. The request for reconsideration has been considered but does NOT place the application in condition for allowance because: As per the applicant's argument #1 under 35 U.S.C 101 rejection that the highlighted claim limitations cannot be performed in the mind, the examiner respectfully disagrees. The applicant cites SRI International, Inc. v. Cisco Systems, Inc. (Fed. Cir. 2019). However, unlike the cited case, the highlighted limitations of the claims in the instant application do not recite network monitors or analyzing network packets. The limitation: "identify an occurrence in connection with at least one of the plurality of devices" does not specify the type of occurrence. One of ordinary skill in the art can broadly interpret the occurrence to be any occurrence that is easily identifiable with the human mind including malfunction of a device. Similarly, the limitation: "determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information" is easily performed manually by a human by correlating the occurrence with the list of vulnerabilities that the device under consideration has. Similarly, the limitation: "permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices" is also easily performed manually by a human by selecting manually a firewall-based occurrence mitigation type and a other occurrence mitigation type to prevent a vulnerability of a device from being used by the occurrence. For example, when a device is deemed susceptible, a person can manually activate a firewall-based occurrence mitigation type and a other occurrence mitigation type to prevent the device from being taken advantage of. Regarding applicant's argument # 2 that the claims are eligible under step 2, the examiner respectfully disagrees. The claims do not recite any additional elements other than a processor at a high level of generality. The use of the processor at a high level of generality amounts to no more than mere instructions being applied to the exception using a generic computer component. Also, the applicant indicates that the claims elements, individually or in combination, are not found in prior art with which the examiner respectfully disagrees. Prior art Keanini is a prior art as will be shown below.
Regarding the rejection under 35 U.S.C 103, per argument #1, prior art of record Keanini does not teach the limitation: "permit selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types…", the examiner respectfully disagrees. Keanini teaches: column 11, lines 15-25: The event daemon module 820 performs a set of actions to block a host's exposure to its vulnerabilities. In one embodiment the event daemon module 820 responds to a notification of vulnerabilities from the device profiler 165. In another embodiment, the event daemon module 820 responds to a notification of a real-time attack from the traffic monitor 185. The blocking actions may include configuring a firewall to halt communication between the enterprise network 115 and the WAN 130, closing open ports on the host 191 , and/or preventing the operating systems and/or applications from executing programs (different occurrence mitigation actions of diverse occurrence mitigation types). Keanini teaches allowing selective utilization of different occurrence mitigation actions of diverse occurrence mitigation types including the firewall mitigation type. As indicated in the previous office actions, the diverse mitigation types used by Keanini do not explicitly recite a other occurrence mitigation type. Prior art of record Flowers teaches: Abstract: The intrusion detection system leverages off of information gathered about a network, such as vulnerabilities, so that it only examines and alerts the user to potential intrusions that could actually affect the particular network. Also, column 3, lines 42-64. Regarding Argument #2, it is unclear why Keanini's claims are under scrutiny when support for the subject matter cited in rejecting the claims has been shown to be present in the provisional application 60/388078. Regardless, regarding the applicant's arguments that the highlighted terms: "according to a tree-structured vulnerability table" are not supported, the examiner respectfully disagrees. According to Keanini, column 7, lines 50-67: In one embodiment, the rules database module 365 also stores potential vulnerabilities of hosts in one or more tree-like data structures, referred to as "vulnerability trees" 400 (e.g., an application vulnerability tree and an operating system vulnerability tree). The control module 320 is adapted to fire rules in the rules database module 365 that use the high-355 and/or low-level sensors 345 to determine the host's characteristics and use

these characteristics to traverse the vulnerability tree 400 and identify potential vulnerabilities at each host 191. In one embodiment, the rules database module 365 also stores rules to verify the potential vulnerabilities. The rules database module 365 is preferably configured to receive occasional rule updates from the centralized correlation server 175. This is supported in the provisional application: IP360 Concepts Guide, page 9, section 2.1: The IP360 network discovery process operates on Device Profiler appliances installed at strategic points throughout a network. During the discovery process, the network is continuously probed for exposures. During the discovery process, IP360 investigates: • Externally exposed IP network devices, such as web servers, mail servers and FTP servers • Internal IP network devices • All inactive IP addresses to verify that only authorized devices are attached to the network From these exposures, IP360 identifies the operating systems and applications on each active IP device. It evaluates the exposures relative to known vulnerabilities and corporate security policies, and highlights areas of non-compliance. For example, if the enterprise has a policy that no mail servers are to be run on Linux, and a Linux mail server is discovered, that security policy violation can be investigated and corrected. Section 2.1.1: After the OS is discovered, each device is individually explored to find the applications running on the device. The Device Profiler uses conditional rules to determine which probes are relevant to send to each host. The data captured from these repeated discovery sessions creates a history of each IP device's exposures, from which reports are produced. Continuous Discovery as a Prerequisite for Security, page 7: Overview of IP360 functionality. IP360 Device Profiler appliances collect the exposures of the device on each IP address, and from that information, they determine the characteristics (i.e., operating system, applications) of the device. From the exposures, the Device Profilers generate a list of vulnerabilities to which the device is susceptible. Page 8: Vulnerabilities Database. After the reflex tests are completed, IP360 compares the exposures identified on each device to the database of known vulnerabilities, then creates device-specific list of vulnerabilities that is used by the Traffic Monitors. IP360 uses conditional rules to efficiently search the vulnerabilities database. For example, on a scan where the detected operating system is Solaris, the Device Profiler does not check for the ida/idq mapping vulnerability, because that vulnerability only exists on Windows NT.

OK TO ENTER: /M.R.H/

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: July 26, 2019 |

**AMENDMENT D**

Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1
450

Examiner:

In response to the Office Action mailed 07/23/19, please enter the following.



Forcepoint LLC
EX-1002
Page 518

PTO/AIA/31 (03-14)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# NOTICE OF APPEAL FROM THE EXAMINER TO THE PATENT TRIAL AND APPEAL BOARD

Docket Number (Optional): SP1P012D

I hereby certify that this correspondence is being facsimile transmitted to the USPTO, EFS-Web transmitted to the USPTO, or deposited with the United States Postal Service with sufficient postage in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, on Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on 11/25/2019.

Signature: /Patrick Caldwell/

Typed or printed name: Patrick Caldwell

In re Application of: Brett Oliphant et al.

| Application Number | Filed |
|---|---|
| 15/608,981 | 2017-05-30 |

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

| Art Unit | Examiner |
|---|---|
| 2438 | Madhuri R HERZOG |

Applicant hereby **appeals** to the Patent Trial and Appeal Board from the last decision of the examiner.

The fee for this Notice of Appeal is (37 CFR 41.20(b)(1)) $ 800

☑ Applicant asserts small entity status. See 37 CFR 1.27. Therefore, the fee shown above is reduced by 50%, and the resulting fee is: $ 400

☐ Applicant certifies micro entity status. See 37 CFR 1.29. Therefore, the fee shown above is reduced by 75%, and the resulting fee is: $ _____
Form PTO/SB/15A or B or equivalent must either be enclosed or have been submitted previously.

☐ A check in the amount of the fee is enclosed.

☑ Payment by credit card. Form PTO-2038 is attached.

☐ The Director is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. _____.

☐ Payment made via EFS-Web.

☑ A petition for an extension of time under 37 CFR 1.136(a) (PTO/AIA/22 or equivalent) is enclosed.
For extensions of time in reexamination proceedings, see 37 CFR 1.550.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

I am the

☐ applicant

☒ attorney or agent of record
Registration number 44580

☐ attorney or agent acting under 37 CFR 1.34
Registration number _____

Signature: /Patrick Caldwell/

Typed or printed name: Patrick Caldwell

Telephone Number: 214-734-2313

Date: 2019-11-25

**NOTE:** This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. Submit multiple forms if more than one signature is required, see below*.

☑ * Total of 1 forms are submitted.

This collection of information is required by 37 CFR 41.20(b)(1) and 41.31. 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, 1.14 and 41.6. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

## 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.

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| NOTICE OF APPEAL | 2401 | 1 | 400 | 400 |
| **Post-Allowance-and-Post-Issuance:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| Extension - 1 month with $0 paid | 2251 | 1 | 100 | 100 |
| **Miscellaneous:** | | | | |
| | | **Total in USD ($)** | | **500** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 37857459 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 25-NOV-2019 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 23:01:31 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $500 |
| RAM confirmation Number | E2019AON01583358 |
| 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 | Notice of Appeal Filed | SP1P012D_NoticeofAppeal_vF_25-Nov-2019.pdf | 131915<br>5fcfb345b9c8e1fe79221ccebca4bdf4c1b0dd71 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Fee Worksheet (SB06) | fee-info.pdf | 32301<br>1f26193dcb2d2aae2c6c0310a39ee9ac43164a3a | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 164216 | | |

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

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Application Number | 15/608,981 | Filing Date | 2017-05-30 | Docket Number (if applicable) | SP1P012D | Art Unit | 2438 |
| First Named Inventor | Brett M. Oliphant | | | Examiner Name | Madhuri R HERZOG | | |

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

### SUBMISSION REQUIRED UNDER 37 CFR 1.114

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

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

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

☐ Other _____

☒ Enclosed

☒ Amendment/Reply

☒ Information Disclosure Statement (IDS)

☐ Affidavit(s)/ Declaration(s)

☐ Other _____

### MISCELLANEOUS

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

☐ Other _____

### FEES

☒ **The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No 505939

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

☒ Patent Practitioner Signature

Applicant Signature

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| Signature of Registered U.S. Patent Practitioner | | | |
|---|---|---|---|
| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2019-12-19 |
| Name | Patrick Caldwell | Registration Number | 44580 |

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

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

# Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: Madhuri R HERZOG |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 2017-05-30 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: Dec 19, 2019 |

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

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

Examiner:

Examiner:

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

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

Additionally, related patent U.S. Patent No. 8984644 is the subject of an appeal (US Court of Appeals for the Federal Circuit Case 2019-1881).

This Information Disclosure Statement is being with an RCE. Accordingly, no fee is due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any additional fees are due, the Commissioner is hereby authorized to charge such fees or credit any overpayment to Deposit Account 50-4964 (Order No. SP1P012C).

Respectfully submitted,



Dated: 19 Dec 2019

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

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

| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney Docket No. SP1P012D | Application No. 15/608,981 |
|---|---|---|---|
| **Information Disclosure Statement by Applicant** (Use several sheets if necessary) (37 CFR §1.98(b)) | | Inventor Brett M. Oliphant | Confirmation Number 9076 |
| | | Filing Date 05/30/2017 | Group Art Unit 2438 |

**U.S. Patent Documents**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
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**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 |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | |
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**Other Documents (include Author, Title, Date, and Place of Publication)**

| Examiner Initial | Desig. ID | Document |
|---|---|---|
| | A | Response to Office Action Filed 9/3/2019 for USPAN 15/608,978 |
| | B | Advisory Action Filed 8/13/2019 for USPAN 15/608,978 |
| | C | Notice of Allowance Mailed 9/24/2019 for USPAN 15/608,983 |
| | | |

| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney Docket No. SP1P012D | Application No. 15/608,981 |
|---|---|---|---|
| **Information Disclosure Statement by Applicant** (Use several sheets if necessary) | | Inventor Brett M. Oliphant | Confirmation Number 9076 |
| (37 CFR §1.98(b)) | | Filing Date 05/30/2017 | Group Art Unit 2438 |

## 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).

☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed _____ and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

☐ See attached certification statement.

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

☒ A certification statement is not submitted herewith.

## SIGNATURE

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2019-12-19 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

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

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

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 38094296 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 19-DEC-2019 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 18:11:51 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $950 |
| RAM confirmation Number | E2019BII12165002 |
| Deposit Account | |
| Authorized User | |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: | |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Request for Continued Examination (RCE) | SP1P012D_RCE_20191219_vF.pdf | 1364052<br>bc1a403f20e86f25b7bf3c4f85b96da95f20050c | no | 3 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Amendment Submitted/Entered with Filing of CPA/RCE | SP1P012D_AmendmentE_vF_19-Dec-2019.pdf | 115432<br>8982ff5a9a333d45040e95d26b64d8e582f14e82 | no | 19 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | Transmittal Letter | SP1P012D_IDS_XMTL_vF_19-Dec-2019.pdf | 54964<br>782250d6f88038ba57daa6e16a4fbe8e0873c8ec | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 4 | Information Disclosure Statement (IDS) Form (SB08) | SP1P012D_IDS_1449_vF_19-Dec-2019.pdf | 56692<br>e3b30188ff581580f71434f3aa9cd5c1b986fca5 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| This is not an USPTO supplied IDS fillable form | | | | | |
| 5 | Non Patent Literature | 15608978.pdf | 292470<br>df43a7ba0db013369ef0a99a14a167a2d0df73b9 | no | 4 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 6 | Non Patent Literature | 15608978_1.pdf | 2054556<br>6938b90b78f93c6cbc3f7916408bcaf43d9ad2d9 | no | 57 |
| **Warnings:** | | | | | |

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|---|---|---|---|---|---|
| **Information:** | | | | | |
| 7 | Non Patent Literature | 15608983.pdf | 479176<br>90688051ba63caf002d4b582926c4abcb0f91ec4 | no | 11 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 8 | Fee Worksheet (SB06) | fee-info.pdf | 30592<br>980783c8a4d64aeded3355f916743d7a5543a992 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 4447934 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: December 19, 2019 |

**AMENDMENT E**
**AND**
**REQUEST FOR CONTINUED EXAMINATION (RCE)**

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

Examiner:

As a follow up to the Notice of Appeal filed 11/25/19, please enter the following.



Forcepoint LLC
EX-1002
Page 537

**Claims:**

1.-53. (Cancelled)

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

receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities;

said first vulnerability information generated utilizing the second vulnerability information, by:

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

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

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

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

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

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

55. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured for providing at least two options via a user interface including a firewall-type option for preventing at least one occurrence packet, and another option; the instructions are configured such that, in response to user input received prior to receipt of the at least one occurrence packet, the firewall-type option is applied to the plurality of devices by sending a first signal over at least one network to at least one first component with firewall-type functionality such that the at least one occurrence packet is prevented across the plurality of devices; and the instructions are configured such that, in response to additional user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the other option is applied to the particular single device by sending a second signal over the at least one network to at least one second component with other functionality.

56. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that at least two options are provided including a firewall-type option associated with the firewall-based occurrence mitigation type, and an other option associated with the other occurrence mitigation type; the instructions are configured such that, in response to user input prior to receipt of at least one occurrence packet, the other option is applied to the plurality of devices; and the instructions are configured such that, in response to user input after the receipt of the at least one occurrence packet in connection with a particular single device of the plurality of devices, the firewall-type option is applied to the particular single device.

57. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system, so that, in order to avoid false positives, only relevant vulnerabilities prompt a user selection among the different occurrence mitigation actions of the diverse occurrence mitigation types in connection therewith.



Forcepoint LLC
EX-1002
Page 539

58. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that which of the different occurrence mitigation actions for which one or more options are provided to a user, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that only relevant occurrence mitigation actions are available for selection by the user.

59. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that the at least one actual vulnerability is determined as a function of the at least one operating system and at least one some of the different occurrence mitigation actions are specific to the at least one actual vulnerability.

60. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that different user input is permitted to be received prior to the occurrence for different devices, for allowing completion of the different occurrence mitigation actions, in a manner that the different user input results in: only a first occurrence mitigation action of the firewall-based occurrence mitigation type being user-selectively completed at the first device in response to the occurrence, only a second occurrence mitigation action of the other occurrence mitigation type being user-selectively completed at the second device in response to the occurrence, and both the first occurrence mitigation action and the second occurrence mitigation action being user-selectively completed at the third device in response to the occurrence.

61. (New) The non-transitory computer-readable media of Claim 60, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being supplemented by the second occurrence mitigation action of the other occurrence mitigation type at the first device.

62. (New) The non-transitory computer-readable media of Claim 60, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being rolled back at the third device.

63. (New) The non-transitory computer-readable media of Claim 60, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for causing completion of the different occurrence mitigation actions, in a manner that the additional user input results in: the second occurrence mitigation action of the other occurrence mitigation type being supplemented by the first occurrence mitigation action of the firewall-based occurrence mitigation type.

64. (New) The non-transitory computer-readable media of Claim 60, wherein the instructions are configured such that additional user input is permitted to be received after a reporting of the occurrence, for prompting a rollback of one or more of the different occurrence mitigation actions, in a manner that the additional user input results in: the first occurrence mitigation action of the firewall-based occurrence mitigation type being rolled back at the third device.

65. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types include: a first occurrence mitigation action of the firewall-based occurrence mitigation type including at least one of setting a configuration option, setting of a policy, or an installation of a patch; and a second occurrence mitigation action of the other occurrence mitigation type including at least one of setting the configuration option, the setting of the policy, or the installation of the patch that is different than that included in connection with the first occurrence mitigation action.

66. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that multiple options for selecting the different occurrence mitigation actions are displayed via an intrusion prevention system interface of an intrusion prevention system that is supported by a single client agent that supports at least one aspect of the identifying the occurrence, at least one aspect of automatically completing a first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type in response to a selection of a first one of the multiple options, and at least one aspect of automatically completing a second one of the different occurrence mitigation actions of the other occurrence mitigation type in response to a selection of a second one of the multiple options.

67. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

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

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

68. (New) The non-transitory computer-readable media of Claim 67, wherein the instructions are configured such that the automatic application of the first one of the different occurrence mitigation actions of the firewall-based occurrence mitigation type includes sending

a first signal to at least one component with firewall functionality; and the automatic application of the second one of the different occurrence mitigation actions of the other occurrence mitigation type includes sending a second signal to at least one component with other functionality.

69. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that the different occurrence mitigation actions of the diverse occurrence mitigation types are for being automatically applied to different occurrences with different severities in real-time in response to the identification of the different occurrences based on a user selection of one or more options for selecting among the different occurrence mitigation actions before the identification of the different occurrences.

70. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

71. (New) The non-transitory computer-readable media of Claim 54, wherein the identifying the occurrence is accomplished by: identifying at least one first occurrence packet of a first occurrence directed to the first device, and identifying at least one second occurrence packet of a second occurrence directed to the second device; the determining that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible is accomplished by: identifying at least one aspect of the at least one first occurrence packet and utilizing the at least one aspect of the at least one first occurrence packet to determine whether a first actual vulnerability of the first device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one first occurrence packet, and identifying at least one aspect of the at least one second occurrence packet and utilizing the at least one aspect of

the at least one second occurrence packet to determine whether a second actual vulnerability of the second device identified by the first vulnerability information is configured so as to be taken advantage of by the at least one second occurrence packet; and the causation of the utilization of the different occurrence mitigation actions includes sending one or more control signals in response to receiving user input via a graphical user interface; wherein the instructions are configured such that, based on the user input, a first occurrence mitigation action of the different occurrence mitigation actions of the firewall-based occurrence mitigation type is completed by sending a first signal over at least one network to a first component with a firewall type functionality and preventing the first occurrence including the at least one first occurrence packet from taking advantage of the first actual vulnerability in connection with the first device; and wherein the instructions are configured such that a second occurrence mitigation action of the different occurrence mitigation actions of the other occurrence mitigation type is completed by sending a second signal to a second component with other functionality and preventing the second occurrence including the at least one second occurrence packet, in automatic response thereto, from taking advantage of the second actual vulnerability in connection with the second device.

72. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that which of the different occurrence mitigation actions for utilization is caused, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is caused.

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

74. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that the utilization of the different occurrence mitigation

actions is caused for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being caused at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being caused at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being caused at the third device in response to the occurrence.

75. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions are configured such that one or more options are provided to a user so that the user is permitted to select each of the different occurrence mitigation actions of the diverse occurrence mitigation types in connection with the at least one actual vulnerability which includes a single actual vulnerability, such that both of the different occurrence mitigation actions are associated with the single actual vulnerability.

76. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

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

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

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

77. (New) The non-transitory computer-readable media of Claim 54, wherein the instructions, when executed by the one or more processors, cause the one or more processors to:

receive a first user input;

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

receive a second user input; and

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

78. (New) The non-transitory computer-readable media of Claim 54, wherein the other occurrence mitigation type includes a scan-based occurrence mitigation type.

79. (New) The non-transitory computer-readable media of Claim 54, wherein the other occurrence mitigation type includes a patch-based occurrence mitigation type.

80. (New) The non-transitory computer-readable media of Claim 79, wherein the instructions are configured such that at least one of:

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

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

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

said second vulnerability information includes accurately identified vulnerability information;

said second vulnerability information includes actual vulnerability information;

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

said first vulnerability information includes potential vulnerability information;

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

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

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

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

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

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

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

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

said preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of

devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices;

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

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

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

said actual vulnerabilities include the at least one actual vulnerability;

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

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

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

said different occurrence mitigation actions include different remediation actions;



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

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

said different occurrence mitigation actions are caused to be utilized, via one or more user options;

said different occurrence mitigation actions are caused to be utilized, based on user input;

said different occurrence mitigation actions are caused to be utilized, using a user option;

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

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

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

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

said automatic response includes a real-time response.

81. (New) The non-transitory computer-readable media of Claim 56, wherein the instructions are configured such that each of:

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



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

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

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

said first vulnerability information identifies at least one actual vulnerability;

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

said different occurrence mitigation actions include different remediation actions;

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

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

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

said at least one configuration includes at least one of: service pack information, one or more elements contained in files including at least one of an *.ini or *.conf file, registry information,



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identification of the at least one operating system, identification of a software version, or identification of software;

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

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

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

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

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

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

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

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

82. (New) The non-transitory computer-readable media of Claim 56, wherein the instructions are configured such that which of the different occurrence mitigation actions for

which selective utilization is caused, is based on one or more of the actual vulnerabilities to which the plurality of devices is actually vulnerable so that utilization of only relevant occurrence mitigation actions is caused.

83. (New) The non-transitory computer-readable media of Claim 56, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively caused for different devices prior to the occurrence.

84. (New) The non-transitory computer-readable media of Claim 56, wherein the instructions are configured such that the utilization of the different occurrence mitigation actions is selectively caused for different devices prior to the occurrence, resulting in: the utilization of only a first occurrence mitigation action of the firewall-based occurrence mitigation type being selectively caused at the first device in response to the occurrence, the utilization of only a second occurrence mitigation action of the other occurrence mitigation type being selectively caused at the second device in response to the occurrence, and the utilization of both the first occurrence mitigation action and the second occurrence mitigation action being selectively caused at the third device in response to the occurrence.

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

receive a first user input;

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

receive a second user input; and

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

**Remarks:**

The claims have been clarified.

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

Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-4964 (Order No. SP1P012D).

Should the Examiner deem that any further amendment is desirable to place this Application in condition for allowance, Applicant invites the Examiner to telephone the undersigned attorney at the number listed below.

Respectfully submitted,



Dated: 19 Dec 2019

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PTO/SB/06 (09-11)
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| PATENT APPLICATION FEE DETERMINATION RECORD<br>Substitute for Form PTO-875 | Application or Docket Number<br>15/608,981 | Filing Date<br>05/30/2017 | ☐ To be Mailed |
|---|---|---|---|

**ENTITY:** ☐ LARGE ☑ SMALL ☐ MICRO

## APPLICATION AS FILED - PART I

| FOR | (Column 1)<br>NUMBER FILED | (Column 2)<br>NUMBER EXTRA | | RATE ($) | FEE ($) |
|---|---|---|---|---|---|
| ☐ BASIC FEE<br>(37 CFR 1.16(a), (b), or (c)) | N/A | N/A | | N/A | |
| ☐ SEARCH FEE<br>(37 CFR 1.16(k), (i), or (m)) | N/A | N/A | | N/A | |
| ☐ EXAMINATION FEE<br>(37 CFR 1.16(o), (p), or (q)) | N/A | N/A | | N/A | |
| TOTAL CLAIMS<br>(37 CFR 1.16(i)) | minus 20 = | * | | x $40 = | |
| INDEPENDENT CLAIMS<br>(37 CFR 1.16(h)) | minus 3 = | * | | x $210 = | |
| ☐ APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | |
| ☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | | |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | | TOTAL | |

## APPLICATION AS AMENDED - PART II

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | 12/19/2019 | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * 32 | Minus | ** 45 | = 0 | | x $50 = | 0 |
| | Independent<br>(37 CFR 1.16(h)) | * 1 | Minus | *** 3 | = 0 | | x $230 = | 0 |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | 0 |

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * | Minus | ** | = | | x $0 = | |
| | Independent<br>(37 CFR 1.16(h)) | * | Minus | *** | = | | x $0 = | |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | |

| | |
|---|---|
| * If the entry in column 1 is less than the entry in column 2, write "0" in column 3. | LIE |
| ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". | /SHERRY A DAVIS/ |
| *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". | |
| The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1. | |

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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# NOTICE OF ALLOWANCE AND FEE(S) DUE

92045 7590 03/25/2020

The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |
| ART UNIT | PAPER NUMBER |
| 2438 | |

DATE MAILED: 03/25/2020

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

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

| APPLN. TYPE | ENTITY STATUS | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|---|---|---|---|---|---|---|
| nonprovisional | SMALL | $500 | $0.00 | $0.00 | $500 | 06/25/2020 |

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.**

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.**

**HOW TO REPLY TO THIS NOTICE:**

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

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

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

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

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

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## PART B - FEE(S) TRANSMITTAL

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Alexandria, Virginia 22313-1450

By fax, send to: (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

92045 7590 03/25/2020

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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being transmitted to the USPTO via EFS-Web or by facsimile to (571) 273-2885, on the date below.

| (Typed or printed name) |
|---|
| (Signature) |
| (Date) |

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

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

| APPLN. TYPE | ENTITY STATUS | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|---|---|---|---|---|---|---|
| nonprovisional | SMALL | $500 | $0.00 | $0.00 | $500 | 06/25/2020 |

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|---|---|---|
| HERZOG, MADHURI R | 2438 | 726-023000 |

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

❑ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

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2. For printing on the patent front page, list
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(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1_____
2_____
3_____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document must have been previously recorded, or filed for recordation, as set forth in 37 CFR 3.11 and 37 CFR 3.81(a). Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ❑ Individual ❑ Corporation or other private group entity ❑ Government

4a. Fees submitted: ❑Issue Fee ❑Publication Fee (if required) ❑Advance Order - # of Copies _____

4b. Method of Payment: *(Please first reapply any previously paid fee shown above)*

❑ Electronic Payment via EFS-Web ❑ Enclosed check ❑ Non-electronic payment by credit card (Attach form PTO-2038)

❑ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment to Deposit Account No. _____

5. **Change in Entity Status** (from status indicated above)

❑ Applicant certifying micro entity status. See 37 CFR 1.29

❑ Applicant asserting small entity status. See 37 CFR 1.27

❑ Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

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

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____



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Page 558

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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www.uspto.gov

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

92045 7590 03/25/2020

The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |
| ART UNIT | PAPER NUMBER |
| 2438 | |

DATE MAILED: 03/25/2020

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

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

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

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

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

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

The information collected by PTOL-85 Part B is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Privacy Act Statement

**The Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

| Notice of Allowability | Application No. 15/608,981 | Applicant(s) Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | AIA (FITF) Status No |

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

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☑ This communication is responsive to 12/19/2019.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.

2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

3. ☑ The allowed claim(s) is/are 54-85 . As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see **http://www.uspto.gov/patents/init_events/pph/index.jsp** or send an inquiry to **PPHfeedback@uspto.gov.**

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

   **Certified copies:**

   a) ☐ All  b) ☐ Some  *c) ☐ None of the:

   1. ☐ Certified copies of the priority documents have been received.
   2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
   3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____ .

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____ .

   **Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☑ Notice of References Cited (PTO-892)
2. ☑ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date 12/19/2019.
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material _____.
4. ☐ Interview Summary (PTO-413), Paper No./Mail Date. _____.
5. ☐ Examiner's Amendment/Comment
6. ☑ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

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

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

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

4. Claims 1-53 have been cancelled.

5. Claims 54-85, now renumbered as claims 1-32, have been examined.

### *Information Disclosure Statement*

6. The information disclosure statement (IDS) submitted on 12/19/2019 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

### *Allowable Subject Matter*

7. Claims 54-85 are allowed over prior art of record.

***Response to Arguments***

8. Applicant's arguments, see Remarks filed on 12/19/2019, have been fully considered. Applicant's arguments, especially, Remarks filed on 07/26/2019, have been fully considered and are persuasive.

**Examiner's Statement of Reasons for Allowance**

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

Independent claim 54 is allowed in view of the reasons presented by the applicant in the Remarks. Claims 55-85 depend, directly or indirectly, on claim 54 and are therefore, allowed by virtue of their dependency.

Prior art of record Flowers teaches: A vulnerability detection system (VDS) (1) gathers information about network 100 and (2) processes that information to determine vulnerabilities. The VDS contains a rules database that contains rules that describe vulnerabilities and provide a programmatic means to check for the presence of those vulnerabilities. In particular, the information received from a network as a result of reflex testing is checked against the rules database and can be used to detect every device in the network, identify each host's operating system as well as the open ports of the host and the applications being run on them. This information is then used to identify vulnerabilities. An intrusion detection system (IDS) examines network traffic for signs of malicious activity. The rules used by the IDS are determined by the VDS vulnerability analysis, so that only rules that describe possible intrusion conditions as they exist for the specific network are loaded. Such a Target-based IDS monitors for specific

conditions to which the network has been determined to be vulnerable, as well as any range of conditions or attacks to which the network might be vulnerable.

However, Flowers fail to teach: "identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and cause utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type", Flowers teaches monitoring for attacks based on vulnerabilities identified in the network but does not teach identifying an occurrence, determining that at least one vulnerability is susceptible to being taken advantage by the occurrence and selectively utilizing diverse mitigation actions including a firewall.

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

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

***Conclusion***

10. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

US 6282546 to Gleichauf et al: A system and method are disclosed for real-time insertion of data into a multi-dimensional database. The system includes a multi-dimensional database and a user interface operable to access and provide views into the multi-dimensional database. A data insertion engine is coupled to and operable to access the multi-dimensional database. The data insertion engine is further operable to receive and process a real-time data feed and to insert data into the multi-dimensional database responsive to processing of the real-time data feed. In one embodiment, the real-time data feed can represent exploited network vulnerabilities, and the system can be used for network intrusion detection and vulnerability assessment.

US 6301668 to Gleichauf et al: A method and system for adaptive network security using network vulnerability assessment is disclosed. The method comprises directing a request onto a network. A response to the request is assessed to discover network information. A plurality of analysis tasks are prioritized based upon the network information. The plurality of analysis tasks are to be performed on monitored network data traffic in order to identify attacks upon the network.

Managing Cyber Security Vulnerabilities in Large Networks by Chang et al: In this paper, we describe a methodology for statistical sampling and analysis, combined with a network and host security discipline for developing Lucent's cyber security profile in an effective, efficient manner. We have also developed a methodology for correlating vulnerabilities in and among the network and operating systems. We found the distribution of high-risk vulnerabilities to be very concentrated. Through root cause analyses, we developed a focused plan for mitigating vulnerabilities effectively and efficiently.

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

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

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on (571)272-3787. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see https://ppair-my.uspto.gov/pair/PrivatePair. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MADHURI R. HERZOG
Primary Examiner
Art Unit 2438

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

| Notice of References Cited | Application/Control No. 15/608,981 | Applicant(s)/Patent Under Reexamination Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | Page 1 of 1 |

**U.S. PATENT DOCUMENTS**

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Name | CPC Classification | US Classification |
|---|---|---|---|---|---|---|
| * | A | US-6282546-B1 | 08-2001 | Gleichauf; Robert | G06F21/604 | 726/25 |
| * | B | US-6301668-B1 | 10-2001 | Gleichauf; Robert E. | H04L41/12 | 726/22 |
| | C | | | | | |
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**FOREIGN PATENT DOCUMENTS**

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Country | Name | CPC Classification |
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| | N | | | | | |
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**NON-PATENT DOCUMENTS**

| * | | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
|---|---|---|
| | U | Chang, Edward S., et al. "Managing cyber security vulnerabilities in large networks." Bell Labs technical journal 4.4 (1999): 252-272 . (Year: 1999) |
| | V | |
| | W | |
| | X | |

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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

**CLAIMS**

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

| CLAIM | | DATE | | | | | | | | |
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| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | 07/18/2019 | 03/18/2020 | | | | |
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| | 38 | ✓ | ✓ | ✓ | ✓ | - | | | | |
| | 39 | ✓ | ✓ | ✓ | ✓ | - | | | | |
| | 40 | ✓ | ✓ | ✓ | ✓ | - | | | | |
| | 41 | ✓ | ✓ | ✓ | ✓ | - | | | | |
| | 42 | ✓ | ✓ | ✓ | ✓ | - | | | | |



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| | 15/608,981 | Oliphant et al. |
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| | MADHURI R HERZOG | 2438 |

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | 07/18/2019 | 03/18/2020 | | | | |
| | 43 | ✓ | ✓ | ✓ | ✓ | - | | | | |
| | 44 | ✓ | ✓ | ✓ | ✓ | - | | | | |
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| | 46 | ✓ | ✓ | ✓ | ✓ | - | | | | |
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| 31 | 84 | | | | | = | | | | |
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| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | Examiner | Art Unit |
| | MADHURI R HERZOG | 2438 |

| CPC - Searched* | | |
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| **Symbol** | **Date** | **Examiner** |
| H04L 63/02$, 63/14$, 63/20$ | 03/18/2020 | M.H |
| G06F 21/5$ | 03/18/2020 | M.H |

| CPC Combination Sets - Searched* | | |
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| US Classification - Searched* | | | |
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| **Class** | **Subclass** | **Date** | **Examiner** |
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* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

| Search Notes | | |
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| **Search Notes** | **Date** | **Examiner** |
| Inventor search, Assignee search | 03/18/2020 | M.H |
| East search | 03/18/2020 | M.H |
| IP.com search | 03/18/2020 | M.H |
| Consulted QAS Tod Swann | 03/18/2020 | M.H |
| Search terms: determine, detect, find, discover, uncover, analyze, examine, check, vulnerability, exploit, device, node, host, terminal, client, configuration, operation, system, os, attack, intrusion, ddos, occurrence, event, malicious, suspicious, suspect, pernicious, traffic, packet, malware, threat, firewall, ids, detection, system, prevention, choose, select, designate, pick, identify, base, depend, mitigation, patch, hotfix, remediation, second, other, different, another, advantage, susceptible, expose, liable | 03/18/2020 | M.H |

| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
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| | Examiner | Art Unit |
| | MADHURI R HERZOG | 2438 |

| Interference Search | | | |
|---|---|---|---|
| **US Class/CPC Symbol** | **US Subclass/CPC Group** | **Date** | **Examiner** |
| H04L | 63/02$, 63/14$, 63/20$ with the above search terms | 03/18/2020 | M.H |
| G06F | 21/5$ with the above search terms | 03/18/2020 | M.H |

| | |
|---|---|
| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |



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Page 572

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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

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

| NONE | | Total Claims Allowed: | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 32 | |
| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | 18 March 2020 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 54 | 6 |

U.S. Patent and Trademark Office — Part of Paper No.: 20200318



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| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| INTERNATIONAL CLASSIFICATION | | | | | |
|---|---|---|---|---|---|
| **CLAIMED** | | | | | |
| H04L29/06 | / | 29 | / | 06 | |
| G06F21/57 | / | 21 | / | 57 | |
| G06F21/55 | / | 21 | / | 55 | |
| G06F21/50 | / | 21 | / | 50 | |

| NON-CLAIMED | | | | |
|---|---|---|---|---|
| | / | | / | |

| US ORIGINAL CLASSIFICATION | |
|---|---|
| **CLASS** | **SUBCLASS** |
| | |

| CROSS REFERENCES(S) | | | | | | |
|---|---|---|---|---|---|---|
| **CLASS** | **SUBCLASS (ONE SUBCLASS PER BLOCK)** | | | | | |
| | | | | | | |

| NONE<br>(Assistant Examiner) (Date) | **Total Claims Allowed:**<br>32 | |
|---|---|---|
| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438<br>(Primary Examiner) 18 March 2020 (Date) | O.G. Print Claim(s)<br>54 | O.G. Print Figure<br>6 |

U.S. Patent and Trademark Office Part of Paper No.: 20200318



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| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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

**CLAIMS**

| Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1 | | 12 | | 23 | | 34 | | 45 | 3 | 56 | 14 | 67 | 25 | 78 |
| | 2 | | 13 | | 24 | | 35 | | 46 | 4 | 57 | 15 | 68 | 26 | 79 |
| | 3 | | 14 | | 25 | | 36 | | 47 | 5 | 58 | 16 | 69 | 27 | 80 |
| | 4 | | 15 | | 26 | | 37 | | 48 | 6 | 59 | 17 | 70 | 28 | 81 |
| | 5 | | 16 | | 27 | | 38 | | 49 | 7 | 60 | 18 | 71 | 29 | 82 |
| | 6 | | 17 | | 28 | | 39 | | 50 | 8 | 61 | 19 | 72 | 30 | 83 |
| | 7 | | 18 | | 29 | | 40 | | 51 | 9 | 62 | 20 | 73 | 31 | 84 |
| | 8 | | 19 | | 30 | | 41 | | 52 | 10 | 63 | 21 | 74 | 32 | 85 |
| | 9 | | 20 | | 31 | | 42 | | 53 | 11 | 64 | 22 | 75 | | |
| | 10 | | 21 | | 32 | | 43 | 1 | 54 | 12 | 65 | 23 | 76 | | |
| | 11 | | 22 | | 33 | | 44 | 2 | 55 | 13 | 66 | 24 | 77 | | |

| NONE | | **Total Claims Allowed:** | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 32 | |
| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | 18 March 2020 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 54 | 6 |

U.S. Patent and Trademark Office — Part of Paper No.: 20200318



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Main Concept Text
==========
determining actual vulnerabilities based on potential vulnerabilities and configuration of a device and determining whether the actual vulnerabilities are being taken advantage of based on an event and applying mitigation techniques

determining actual vulnerabilities of a device based on potential vulnerabilities and the operating system of the device and determining whether the actual vulnerabilities are being taken advantage of based on an attack and applying remediation

(No Concept Modifiers)
==========

Filters (1)
==========
Publication Date: To 2002-09-27

Options
=======
De-dup: None
Cut-off: None
Sort: Relevance

Content: Non-Patent Literature (25)
==========
IEEE Xplore Publications: IEEE Periodicals
IEEE Xplore Publications: IEEE Conferences
IEEE Xplore Publications: IEEE Standards
IEEE Xplore Publications: IEEE Early Access
IEEE Xplore Publications: IET Periodicals
IEEE Xplore Publications: IET Conferences
IEEE Xplore Publications: SMPTE Periodicals
IEEE Xplore Publications: SMPTE Conferences
IEEE Xplore Publications: SMPTE Standards
IEEE Xplore Publications: MIT Press eBooks
IEEE Xplore Publications: Wiley-IEEE eBooks
IEEE Xplore Publications: IBM Periodicals
IEEE Xplore Publications: URSI Periodicals
IEEE Xplore Publications: VDE Conferences
IEEE Xplore Publications: Periodicals from China
IP.com Prior Art Database: The IP.com Journal
IP.com Prior Art Database: Internet Society RFC

IP.com Prior Art Database: IBM TDB Archive
IP.com Prior Art Database: Legacy Journals
IP.com Prior Art Database: Software Patent Institute
OnePetro.org: Periodicals at OnePetro.org
OnePetro.org: Conferences at OnePetro.org
OnePetro.org: Standards at OnePetro.org
Other Literature: IBM Redbooks
Other Literature: PubMed Central

Main Concept Text
==========
determining actual vulnerabilities of a device based on potential vulnerabilities and the operating system of the device and determining whether the actual vulnerabilities are being taken advantage of based on an attack and applying remediation

determining actual vulnerabilities based on potential vulnerabilities and configuration of a device and determining whether the actual vulnerabilities are being taken advantage of based on an event and applying mitigation techniques

(No Concept Modifiers)
==========

Filters (1)
==========
Publication Date: To 2002-09-27

Options
==========
De-dup: Simple Family Numbers
Cut-off: None
Sort: Relevance

Content: Patent Publications (164)
==========
US Patents
US Designs
US Applications
EPO Patents
EPO Applications
China Patents

China Applications
Japan Patents
Japan Applications
Korea Patents
Korea Applications
WIPO Applications
Argentina Patents
Argentina Applications
Brazil Patents
Brazil Applications
Canada Patents
Canada Applications
Chile Patents
Chile Applications
Colombia Applications
Costa Rica Applications
Cuba Patents
Cuba Applications
Dominican Republic Applications
Ecuador Patents
Ecuador Applications
El Salvador Applications
Guatemala Applications
Honduras Applications
Mexico Patents
Mexico Applications
Nicaragua Patents
Panama Applications
Peru Applications
Trinidad & Tobago Patents
Uruguay Applications
Austria Patents
Austria Applications
Belarus Patents
Belgium Patents
Belgium Applications
Bosnia & Herzegovina Patents
Bosnia & Herzegovina Applications
Bulgaria Patents
Bulgaria Applications
Croatia Patents
Croatia Applications
Czech Republic Patents
Czech Republic Applications
Czechoslovakia Patents
Czechoslovakia Applications
Denmark Patents
Denmark Applications

Estonia Patents
Estonia Applications
EUIPO Patents
Finland Patents
Finland Applications
France Patents
France Applications
Germany Patents
Germany Applications
Great Britain Patents
Great Britain Applications
Greece Patents
Greece Applications
Hungary Patents
Hungary Applications
Iceland Patents
Iceland Applications
Ireland Patents
Ireland Applications
Italy Patents
Italy Applications
Latvia Patents
Latvia Applications
Lithuania Patents
Lithuania Applications
Luxembourg Patents
Malta Patents
Monaco Patents
Montenegro Patents
Montenegro Applications
Netherlands Patents
Netherlands Applications
Norway Patents
Norway Applications
Poland Patents
Poland Applications
Portugal Patents
Portugal Applications
Republic of Moldova Patents
Republic of Moldova Applications
Romania Patents
Romania Applications
San Marino Patents
San Marino Applications
Serbia Patents
Serbia Applications
Slovakia Patents
Slovakia Applications

Slovenia Patents
Spain Patents
Spain Applications
Sweden Patents
Sweden Applications
Switzerland Patents
Switzerland Applications
Ukraine Patents
Yugoslavia/Serbia and Montenegro Patents
Yugoslavia/Serbia and Montenegro Applications
Armenia Patents
Australia Patents
Australia Applications
Cyprus Patents
Gulf Cooperation Council Patents
Hong Kong Patents
India Patents
India Applications
Indonesia Patents
Indonesia Applications
Israel Applications
Jordan Patents
Kyrgyzstan Patents
Macao Applications
Malaysia Patents
Mongolia Patents
New Zealand Patents
Philippines Patents
Philippines Applications
Saudi Arabia Patents
Singapore Patents
Singapore Applications
Taiwan Patents
Taiwan Applications
Tajikistan Patents
Tajikistan Applications
Thailand Applications
Uzbekistan Patents
Vietnam Patents
Algeria Patents
ARIPO Patents
ARIPO Applications
Egypt Patents
Kenya Patents
Malawi Patents
Morocco Patents
Morocco Applications
OAPI Patents

South Africa Patents
Tunisia Applications
Zambia Patents
Zimbabwe Patents
EAPO Patents
EAPO Applications
Georgia Patents
Georgia Applications
Kazakhstan Patents
Kazakhstan Applications
Russia Patents
Russia Applications
Turkey Patents
Turkey Applications

# Bibliographic Data

Application No: 15/608,981

Foreign Priority claimed: ○ Yes ◉ No

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

Verified and Acknowledged: /MADHURI R HERZOG/ (Examiner's Signature) | (Initials)

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

| FILING or 371(c) DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET NO. |
|---|---|---|---|
| 05/30/2017 | 726 | 2438 | SP1P012D |
| RULE | | | |

**APPLICANTS**

SecurityProfiling, LLC, Woodville, TX,

**INVENTORS**

Brett M. Oliphant Plano, TX, UNITED STATES

John P. Blignaut West Lafayette, IN, UNITED STATES

**CONTINUING DATA**

This application is a CON of 14816931 08/03/2015 PAT 10050988

14816931 is a CON of 14499230 09/28/2014 PAT 9100431

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

14138014 is a CON of 10882852 07/01/2004ABN

10882852 has PRO of 60484085 07/01/2003

**FOREIGN APPLICATIONS**

**IF REQUIRED, FOREIGN LICENSE GRANTED****

06/07/2017

**** SMALL ENTITY ****

**STATE OR COUNTRY**

UNITED STATES

**ADDRESS**

The Caldwell Firm, LLC

PO Box 59655

Dept. SVIPGP

Dallas, TX 75229

UNITED STATES

**FILING FEE RECEIVED**

$730

**EAST Search History**

**EAST Search History (Prior Art)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
|---|---|---|---|---|---|---|
| L1 | 36 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or examin$6 or analy$4 or scan$4 or prob$4) with (host or client or device or machine or equipment) with (vulnerabilit$4 or exploit$4) with (operating near2 system or os) with (potential or possible or probable or likely) near3 (vulnerabilit$4 or exploit$4) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 11:41 |
| L2 | 37 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or examin$6 or analy$4 or scan$4 or prob$4) with (host or client or device or machine or equipment) with (actual or real or definite or certain or true or truly) near3 (vulnerabilit$4 or exploit$4) with (potential or possible or probable or likely) near3 (vulnerabilit$4 or exploit$4) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 11:50 |
| L3 | 116 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or examin$6 or analy$4 or scan$4 or prob$4) with (actual or real or definite or certain or true or truly) near3 (vulnerabilit$4 or exploit$4) with (potential or possible or probable or likely) near3 (vulnerabilit$4 or exploit$4) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 11:52 |
| L4 | 34 | L3 and (vulnerabilit$4 or exploit$4) with (operating near2 system or os) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 11:53 |
| L5 | 34 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and L4 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 11:56 |
| L6 | 207 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or examin$6 or analy$4 or scan$4 or prob$4) with (actual or real or definite or certain or true or truly or confirmed) near5 (vulnerabilit$4 or exploit$4) with (potential or possible or probable or likely or raw) near5 (vulnerabilit$4 or exploit$4) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 11:57 |
| L7 | 51 | L6 and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with (attack$4 or intrusion or ddos or dos or occurrence or event) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 12:00 |
| L8 | 43 | L7 and (choos$4 or select$4 or pick$4 or | US-PGPUB; | ADJ | ON | 2020/03/18 |



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| | | | | | | |
|---|---|---|---|---|---|---|
| | | designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4) | USPAT; EPO; JPO; DERWENT; IBM_TDB | | | 12:03 |
| L9 | 43 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and L8 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 12:45 |
| L10 | 10 | L6 and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with ((malicious or suspicious or suspect or pernicious) near5 (traffic or packet) or malware) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 12:47 |
| L11 | 8 | L10 and (choos$4 or select$4 or pick$4 or designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4) and firewall | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 12:47 |
| L12 | 166 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with (attack$4 or intrusion or ddos or dos or occurrence or event) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) and (firewall) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 13:01 |
| L13 | 123 | L12 and (choos$4 or select$4 or pick$4 or designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 13:03 |
| L14 | 121 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and L13 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 13:03 |
| L15 | 29 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with ((malicious or suspicious or suspect or pernicious) near5 (traffic or packet) or malware) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) and (firewall) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 13:06 |



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|---|---|---|---|---|---|---|
| L21 | 496 | "6301668" | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/03/18 14:03 |

**EAST Search History (Interference)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
|---|---|---|---|---|---|---|
| L16 | 10 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and ((determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with (attack$4 or intrusion or ddos or dos or occurrence or event or (malicious or suspicious or suspect or pernicious) near5 (traffic or packet) or malware) with (device or node or terminal or host or client or machine) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit)).clm. | USPAT | ADJ | ON | 2020/03/18 13:13 |
| L17 | 9 | L16 and ((firewall) and (ids or intrusion near3 (prevent$4 or detect$4) or ips or (second or another or different or other) near5 (mitigat$4 or remediat$4)) and (choos$4 or select$4 or pick$4 or designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4)).clm. | USPAT | ADJ | ON | 2020/03/18 13:15 |
| L18 | 9 | L16 and ((firewall) and (ids or intrusion near3 (prevent$4 or detect$4) or ips or (second or another or different or other) near5 (mitigat$4 or remediat$4))).clm. | USPAT | ADJ | ON | 2020/03/18 13:17 |
| L19 | 5 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and ((determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with (threat) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit)).clm. | USPAT | ADJ | ON | 2020/03/18 13:18 |
| L20 | 3 | L19 and ((firewall) and (ids or intrusion near3 (prevent$4 or detect$4) or ips or (second or another or different or other) near5 (mitigat$4 or remediat$4)) and (choos$4 or select$4 or pick$4 or designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4)).clm. | USPAT | ADJ | ON | 2020/03/18 13:20 |

**3/18/2020 2:07:03 PM**



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| Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office<br>**Information Disclosure Statement by Applicant**<br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) | Attorney Docket No.<br>SP1P012D | Application No.<br>15/608,981 |
|---|---|---|
| | Inventor<br>Brett M. Oliphant | Confirmation Number<br>9076 |
| | Filing Date<br>05/30/2017 | Group Art Unit<br>2438 |

**U.S. Patent Documents**

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

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

| Examiner Initial | Desig. ID | Document |
|---|---|---|
| /M.R.H/ | A | Response to Office Action Filed 9/3/2019 for USPAN 15/608,978 |
| /M.R.H/ | B | Advisory Action Filed 8/13/2019 for USPAN 15/608,978 |
| /M.R.H/ | C | Notice of Allowance Mailed 9/24/2019 for USPAN 15/608,983 |
| | | |

/MADHURI R HERZOG/ 03/18/2020



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

| Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office<br>**Information Disclosure Statement by Applicant**<br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) | Attorney Docket No.<br>SP1P012D | Application No.<br>15/608,981 |
|---|---|---|
| | Inventor<br>Brett M. Oliphant | Confirmation Number<br>9076 |
| | Filing Date<br>05/30/2017 | Group Art Unit<br>2438 |

## 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).

☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed _____ and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

☐ See attached certification statement.

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

☒ A certification statement is not submitted herewith.

## SIGNATURE

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2019-12-19 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |



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

Forcepoint LLC
EX-1002
Page 589

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

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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# REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL
## (Submitted Only via EFS-Web)

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Application Number | 15/608,981 | Filing Date | 2017-05-30 | Docket Number (if applicable) | SP1P012D | Art Unit | 2438 |
| First Named Inventor | Brett M. Oliphant | | | Examiner Name | Madhuri R HERZOG | | |

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

### SUBMISSION REQUIRED UNDER 37 CFR 1.114

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

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

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

☒ Enclosed

- ☐ Amendment/Reply
- ☒ Information Disclosure Statement (IDS)
- ☐ Affidavit(s)/ Declaration(s)
- ☐ Other _____

### MISCELLANEOUS

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

☐ Other _____

### FEES

☒ **The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No 505939

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

☒ Patent Practitioner Signature

Applicant Signature

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| Signature of Registered U.S. Patent Practitioner | | | |
|---|---|---|---|
| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-06-23 |
| Name | Patrick Caldwell | Registration Number | 44580 |

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

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

# Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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

| | |
|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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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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|---|---|---|---|---|---|---|
| | 1 | 20020087882 | A1 | 2002-07-04 | Schneier et al. | Entire Document |

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

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

| | | | |
|---|---|---|---|
| | 1 | Check Point Software Technologies Ltd, "Getting Started with Check Point RealSecure" Version 4.1, January 2000, 50 pages | |

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**EXAMINER SIGNATURE**

| Examiner Signature | | Date Considered | |
|---|---|---|---|

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

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

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

**CERTIFICATION STATEMENT**

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

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

**OR**

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

**SIGNATURE**

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-06-23 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Small Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| PROCESSING FEE, EXCEPT PROV. APPLS. | 2830 | 1 | 70 | 70 |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| RCE- 2ND AND SUBSEQUENT REQUEST | 2820 | 1 | 950 | 950 |
| | | **Total in USD ($)** | | **1020** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 39808102 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 23-JUN-2020 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 22:52:36 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $1020 |
| RAM confirmation Number | E20206MM52590344 |
| Deposit Account | |
| Authorized User | |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: | |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Request for Continued Examination (RCE) | SP1P012D_RCE_20200623_vF.pdf | 1364047<br>42984aa2b5a244f3cdd0b3c14fedfe7a54a983e1 | no | 3 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Information Disclosure Statement (IDS) Form (SB08) | SP1P012D_IDS_20200623_vF.pdf | 1052880<br>15a2547e571f8332723aa80d408db9a6332daa17 | no | 4 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | Non Patent Literature | CheckPointRealSecureStartJan2000.pdf | 1167638<br>077735b07e7042e3354cef75611a442f631ac64a | no | 62 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 4 | Fee Worksheet (SB06) | fee-info.pdf | 32336<br>6b7d78294d470542466d5a276c4ad53be4de1e3c | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 3616901 | | |

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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.**

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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

| | |
|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

**U.S.PATENTS** Remove

| Examiner Initial* | Cite No | Patent Number | Kind Code[1] | Issue Date | Name of Patentee or Applicant of cited Document | Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear |
|---|---|---|---|---|---|---|
| | 1 | 5796942 | A | 1998-08-18 | Esbensen | |
| | 2 | 5819255 | A | 1998-10-06 | Celis et al. | |
| | 3 | 5819255 | A | 1998-10-06 | Celis et al. | |
| | 4 | 5822750 | A | 1998-10-13 | Jou et al. | |
| | 5 | 5822750 | A | 1998-10-13 | Jou et al. | |
| | 6 | 5872931 | A | 1999-02-16 | Chivaluri | |
| | 7 | 5951698 | A | 1999-09-14 | Chen et al. | |
| | 8 | 5960170 | A | 1999-09-28 | Chen et al. | |

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

| | | | | | | |
|---|---|---|---|---|---|---|
| | 9 | 5960170 | A | 1999-09-28 | Chen et al. | |
| | 10 | 6088804 | A | 2000-07-11 | Hill et al. | Entire Document |
| | 11 | 6088804 | A | 2000-07-11 | Hill et al. | |
| | 12 | 6088804 | A | 2000-07-11 | Hill et al. | |
| | 13 | 6119165 | A | 2000-09-12 | Li et al. | |
| | 14 | 6119165 | A | 2000-09-12 | Li et al. | |
| | 15 | 6119236 | A | 2000-09-12 | Shipley | |
| | 16 | 6119236 | A | 2000-09-12 | Shipley | |
| | 17 | 6185689 | B1 | 2001-02-06 | Robert E. Todd et al. | |
| | 18 | 6185689 | B1 | 2001-02-06 | Robert E. Todd et al. | |
| | 19 | 6275942 | B1 | 2001-08-14 | Bernhard et al. | |

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
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| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

| | | | | | | |
|---|---|---|---|---|---|---|
| | 20 | 6279113 | B1 | 2001-08-21 | Vaidya | |
| | 21 | 6298445 | B1 | 2001-10-02 | Shostack et al. | Entire Document |
| | 22 | 6298445 | B1 | 2001-10-02 | Shostack et al. | |
| | 23 | 6298445 | B1 | 2001-10-02 | Shostack et al. | |
| | 24 | 6301668 | B1 | 2001-10-09 | Gleichauf et al. | Entire Document |
| | 25 | 6301668 | B1 | 2001-10-09 | Gleichauf et al. | |
| | 26 | 6301668 | B1 | 2001-10-09 | Gleichauf et al. | |
| | 27 | 6405318 | B1 | 2002-06-11 | Rowland | |
| | 28 | 6405318 | B1 | 2002-06-11 | Rowland | |
| | 29 | 6408391 | B1 | 2002-06-18 | Huff et al. | |
| | 30 | 6513122 | B1 | 2003-01-28 | Magdych et al. | |

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

| | | | | | | |
|---|---|---|---|---|---|---|
| | 31 | 6513122 | B1 | 2003-01-28 | Magdych et al. | |
| | 32 | 6530024 | B1 | 2003-03-04 | Proctor | |
| | 33 | 6550012 | B1 | 2003-04-15 | Villa et al. | |
| | 34 | 6550012 | B1 | 2003-04-15 | Villa et al. | |
| | 35 | 6574639 | B2 | 2003-06-03 | Carey et al. | |
| | 36 | 6574639 | B2 | 2003-06-03 | Carey et al. | |
| | 37 | 6636845 | B2 | 2003-10-21 | Chau et al. | |
| | 38 | 6636845 | B2 | 2003-10-21 | Chau et al. | |
| | 39 | 6775675 | B1 | 2004-08-10 | Nwabueze et al. | |
| | 40 | 6789202 | B1 | 2004-09-07 | Ko et al. | |
| | 41 | 6789202 | B1 | 2004-09-07 | Ko et al. | |

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| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
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| | Attorney Docket Number | SP1P012D |

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| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

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| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

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| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
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| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

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| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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

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|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

**CERTIFICATION STATEMENT**

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

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

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
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| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| | 18 | Voldal, D., A Practical Methodology for Implementing a Patch Management Process, SANS (2003) | |
| | 19 | Vukelich, D., Levin, D., and Lowry, J., Architecture for Cyber Command and Control: Experiences and Future Directions, IEEE (2001) | |
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| | 21 | Welch-Abernathy, Dameon D. , "Essential Check Point FireWall - An Installation, Configuration, and Troubleshooting Guide," 2000, Pearson Education, Inc. | |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

| | | | |
|---|---|---|---|
| | 23 | Wickham, Timothy, "Intrusion Detection is Dead. Long Live Intrusion Prevention!, SANS Institute InfoSec Reading Room," Apr. 21, 2003, SANS Institute | |
| | 24 | Windows IT Pro, "Retina 3.0 ("Windows IT Pro Article")," Feb. 25, 2001 | |
| | 25 | Young, Casey, "Exploring IBM e-business Software, Second Edition," 2003, Maximum Press | |

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

**EXAMINER SIGNATURE**

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

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

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

**CERTIFICATION STATEMENT**

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

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

**OR**

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

**SIGNATURE**

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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| **EFS ID:** | 40055208 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 20-JUL-2020 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 23:27:21 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

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| 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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| 1 | Transmittal Letter | SP1P012D_IDS_Coversheet_vF_20-Jul-2020.pdf | 55571<br>c11fc3aed0f053139fc4799f3f817971ed53ba17 | no | 2 |

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| 2 | Information Disclosure Statement (IDS) Form (SB08) | SP1P012D_IDS_20200720_1_OF_13_vF.pdf | 1058229<br>a62f9c46d0642923da8e529df4a5ffdc18090009 | no | 23 |
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| 4 | Information Disclosure Statement (IDS) Form (SB08) | SP1P012D_IDS_20200720_3_OF_13_vF.pdf | 1055469<br>b71f64e7c6529444f973d502ad5d2e6b94e27fef | no | 8 |
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**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: Madhuri R HERZOG |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 2017-05-30 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: Jul 20, 2020 |

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

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

Examiner:

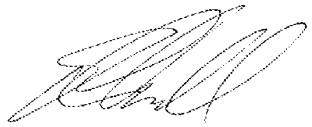
The reference(s) listed in the attached PTO Form 1449, cop(ies) of which is attached (when necessary), may be material to examination of the above-identified patent application. Applicants submit the reference(s) in compliance with their duty of disclosure pursuant to 37 CFR §§ 1.56 and 1.97. The Examiner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

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

Additionally, related patent U.S. Patent No. 8984644 was the subject of an IPR (IPR2017-02192), and a final written decision was issued where all challenged claims were canceled. The Federal Circuit affirmed (US Court of Appeals for the Federal Circuit Case 2019-1881).

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

Respectfully submitted,



Dated: 20 Jul 2020

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

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

**Remarks:**

The claims have been clarified.

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

Applicant does not believe that any additional fees are due. However, in the event that any other fees are due, the Director is hereby authorized to charge any required fees due (other than issue fees), and to credit any overpayment made, in connection with the filing of this paper to Deposit Account No. 50-4964 (Order No. SP1P012D).

Should the Examiner deem that any further amendment is desirable to place this Application in condition for allowance, Applicant invites the Examiner to telephone the undersigned attorney at the number listed below.

Respectfully submitted,



Dated: 18 Sep 2020

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

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

# Electronic Acknowledgement Receipt

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| **EFS ID:** | 40606916 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 18-SEP-2020 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 20:18:16 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

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## File Listing:

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| | Claims | 1 | 35 |
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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.**

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**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: HERZOG, MADHURI R |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 05-30-2017 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: September 18, 2020 |

**AMENDMENT F**

Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1
450

Examiner:

As a follow up to the RCE filed 6/23/20, please enter the following.



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**Claims:**

1.-53. (Cancelled)

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

receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities;

said first vulnerability information generated utilizing the second vulnerability information, by:

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

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

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

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

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

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

55-85. (Cancelled)

86. (New) The non-transitory computer-readable media of Claim 54, wherein the at least one actual vulnerability is one of the actual vulnerabilities that are of the at least operating system that is installed on the plurality of devices, the occurrence is at least one of a plurality of occurrences, and the instructions include:

first instructions that, when executed by at least one first processor of the one or more processors of at least one server in communication with the at least one second storage, cause the at least one first processor to:

generate the first vulnerability information utilizing the second vulnerability information, and

communicate, from the at least one server and to the at least one of the plurality of devices over at least one network, the first vulnerability information;

second instructions that are configured to be stored on the at least one first data storage which is part of the at least one of the plurality of devices and that, when the second instructions are executed by at least one second processor of the one or more processors of the at least one of the plurality of devices, cause the at least one second processor to:

receive, from the at least one server and at the at least one of the plurality of devices over the at least one network, the first vulnerability information,

store the first vulnerability information on the at least one first data storage, and

receive the first vulnerability information from the at least one first data storage, the first vulnerability information being relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices, and excluding at least a portion of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices;

third instructions that are configured to be stored on the at least one first data storage which is part of the at least one of the plurality of devices and that, when the third instructions are executed by the at least one second processor, cause the at least one second processor to:

identify a first portion of the first vulnerability information that includes data inspection-related information that is relevant to at least one of the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices, and that excludes other data inspection-related information of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices,

identify a first occurrence of the plurality of occurrences in connection with the at least one of the plurality of devices, and

cause a determination whether the at least one of the actual vulnerabilities relevant to the data inspection-related information is susceptible to being taken advantage of by the first occurrence identified in connection with the at least one of the plurality of devices, utilizing the data inspection-related information;

fourth instructions that are configured to be stored on the at least one first data storage which is part of the at least one of the plurality of devices and that, when the fourth instructions are executed by the at least one second processor, cause the at least one second processor to:

identify a second portion of the first vulnerability information that includes traffic inspection-related information that is relevant to at least one of the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices, and that excludes other traffic inspection-related information of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices,

identify a second occurrence of the plurality of occurrences in connection with the at least one of the plurality of devices, and

cause a determination whether the at least one of the actual vulnerabilities relevant to the traffic inspection-related information is susceptible to being taken advantage of by the second occurrence identified in connection with the at least one of the plurality of devices, utilizing the traffic inspection-related information;

fifth instructions that are configured to be stored on the at least one first data storage which is part of the at least one of the plurality of devices and that, when the fifth instructions are executed by the at least one second processor, cause the at least one second processor to:

identify a third portion of the first vulnerability information that includes firewall-related information that is relevant to at least one of the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices, and that excludes other firewall-related information of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices,

identify a third occurrence of the plurality of occurrences in connection with the at least one of the plurality of devices, and

cause a determination whether the at least one of the actual vulnerabilities relevant to the firewall-related information is susceptible to being taken advantage of by the third occurrence identified in connection with the at least one of the plurality of devices, utilizing the firewall-related information; and

sixth instructions that, when executed by at least one third processor of an administrator computer, cause the at least one third processor to:

in response to administrator action, cause setting, before the first occurrence, of a first policy for the third instructions that is applied to a group including each of the plurality of devices that has the at least one operating system installed thereon,

in response to administrator action, cause setting, before the second occurrence, of a second policy for the fourth instructions that is applied the group including each of the plurality of devices that has the at least one operating system installed thereon,

in response to administrator action, cause setting, before the third occurrence, of a third policy for the fifth instructions that is applied to the group including each of the plurality of devices that has the at least one operating system installed thereon, and

cause the utilization of the different occurrence mitigation actions of the diverse occurrence mitigation types, including the firewall-based occurrence mitigation type and the other occurrence mitigation type, across the plurality of devices for occurrence

mitigation by preventing the advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices.

87. (New) The non-transitory computer-readable media of Claim 86, wherein the data inspection-related information, the traffic inspection-related information, and the firewall-related information are relevant to a same one of the actual vulnerabilities of the at least one operating system.

88. (New) The non-transitory computer-readable media of Claim 86, wherein the data inspection-related information, the traffic inspection-related information, and the firewall-related information are relevant to different ones of the actual vulnerabilities of the at least one operating system.

89. (New) The non-transitory computer-readable media of Claim 86, wherein the data inspection-related information includes virus signatures utilized by the third instructions which include a virus scanner, and the traffic inspection-related information includes intrusion signatures utilized by the fourth instructions which include an intrusion detection or prevention system.

90. (New) The non-transitory computer-readable media of Claim 86, wherein the data inspection-related information includes virus signatures utilized by the third instructions which include a virus scanner, and the firewall-related information includes a traffic source.

91. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including at least four (4) of:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,

a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

92. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including at least seven (7) of:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,

a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

93. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,

a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

94. (New) The non-transitory computer-readable media of Claim 86, wherein the first policy, the second policy, and the third policy are set based on at least one administrator action received via at least one graphical user interface.

95. (New) The non-transitory computer-readable media of Claim 86, wherein the first policy, the second policy, and the third policy are set based on different administrator actions received via at least one graphical user interface.

96. (New) The non-transitory computer-readable media of Claim 86, wherein the first policy, the second policy, and the third policy are set based on at least one administrator action received via a single graphical user interface.

97. (New) The non-transitory computer-readable media of Claim 86, wherein the different occurrence mitigation actions of the diverse occurrence mitigation types are caused based on at least one of the first policy, the second policy, or the third policy.

98. (New) The non-transitory computer-readable media of Claim 86, wherein the different occurrence mitigation actions of the diverse occurrence mitigation types are each caused based on different ones of the first policy, the second policy, or the third policy.

99. (New) The non-transitory computer-readable media of Claim 86, wherein the different occurrence mitigation actions of the diverse occurrence mitigation types are each caused based on a same at least one of the first policy, the second policy, or the third policy.

100. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to: cause display of at least one interface that provides one or more policy options in connection with at least two of the third, fourth, and fifth instructions, in order to cause the utilization of the different occurrence mitigation actions of the diverse occurrence mitigation types, including the firewall-based occurrence mitigation type and the other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing the advantage being taken of the actual vulnerabilities utilizing the

different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices.

101. (New) The non-transitory computer-readable media of Claim 86, wherein the actual vulnerabilities of the at least one operating system each have a Common Vulnerabilities and Exposures (CVE) identifier associated therewith to be displayed in association with the at least one of the plurality of devices.

102. (New) The non-transitory computer-readable media of Claim 101, wherein the CVE identifier is displayed in connection with an option for, in response to a selection thereof, causing display of at least one patch associated with the CVE identifier.

103. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of at least one update policy for an update for at least one of the second, third, fourth, or fifth instructions.

104. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of at least one update policy for causing an update for at least two of the third, fourth, and fifth instructions.

105. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of at least one policy for causing an update for at least one non-security application that is



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separate from the at least one operating system and that is separate from the second, third, fourth, and fifth instructions.

106. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause, in response to administrator action, setting of a fourth policy for the second instructions that is applied to the group including each of the plurality of devices that has the at least one operating system.

107. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause, in response to administrator action, setting of at least one policy for an update for at least a portion of the at least one operating system that is separate from the second, third, fourth, and fifth instructions.

108. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to avoid reporting occurrences that exploit irrelevant vulnerabilities associated with at least portion of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices.

109. (New) The non-transitory computer-readable media of Claim 86, wherein the second, third, fourth, and fifth instructions are integrated into the same software download.

110. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to allow receipt of a security policy threshold that, when met by any of the plurality of devices, such any of the plurality of devices is isolated.

111. (New) The non-transitory computer-readable media of Claim 86, wherein the second instructions, the third instructions, the fourth instructions, and the fifth instructions are part of a single client application.

112. (New) The non-transitory computer-readable media of Claim 86, wherein the second instructions, the third instructions, the fourth instructions, and the fifth instructions are part of a single client application that is used to indicate that the at least one of the plurality of devices includes the at least one operating system, where, based on the indication, the first vulnerability information is received to the exclusion of the at least portion of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices.

113. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to: cause display of at least one interface that provides one or more policy options in connection with at least two of the third, fourth, and fifth instructions, in order to cause the utilization of the different occurrence mitigation actions of the diverse occurrence mitigation types, including the firewall-based occurrence mitigation type and the other occurrence mitigation type, based on at least one result of at least one of the at least two of the third, fourth, and fifth instructions.

114. (New) The non-transitory computer-readable media of Claim 86, wherein the second instructions provide update support for each of the third instructions, the fourth instructions, and the fifth instructions.

115. (New) The non-transitory computer-readable media of Claim 86, wherein:

the second instructions provide update support for each of the third instructions, the fourth instructions, and the fifth instructions;

the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of at least one fourth policy for controlling at least one aspect of an update for at least two of the third, fourth, and fifth instructions; and

the second, third, fourth, and fifth instructions are integrated into a same client application that is used to indicate that the at least one of the plurality of devices includes the at least one operating system, where, based on the indication, the first vulnerability information is received to the exclusion of the at least portion of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices.

116. (New) The non-transitory computer-readable media of Claim 115, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including at least five (5) of:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,

a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

117. (New) The non-transitory computer-readable media of Claim 86, wherein:

the second instructions provide update support for each of the third instructions, the fourth instructions, and the fifth instructions;

the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of at least one fourth policy for controlling, utilizing the second instructions, an update for at least two of the third, fourth, and fifth instructions;

the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of a fifth policy for controlling an update for at least a portion of

the at least one operating system that is separate from the second, third, fourth, and fifth instructions; and

the second, third, fourth, and fifth instructions are integrated into the same client application that is used to indicate that the at least one of the plurality of devices includes the at least one operating system, where, based on the indication, the first vulnerability information is received to the exclusion of the at least portion of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices.

118. (New) The non-transitory computer-readable media of Claim 117, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including at least seven (7) of:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,



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a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

119. (New) The non-transitory computer-readable media of Claim 86, wherein:

the sixth instructions that, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to: cause display of at least one interface that provides one or more policy options in connection with at least two of the third, fourth, and fifth instructions, in order to cause the utilization of the different occurrence mitigation actions of the diverse occurrence mitigation types, including the firewall-based occurrence mitigation type and the other occurrence mitigation type, based on at least one result of at least one of the at least two of the third, fourth, and fifth instructions;

the second instructions provide update support for each of the third instructions, the fourth instructions, and the fifth instructions;

the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of at least one fourth policy for controlling, utilizing the second instructions, an update for at least two of the third, fourth, and fifth instructions;

the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to cause, in response to administrator action, setting of a fifth policy for controlling an update for at least a portion of the at least one operating system that is separate from the second, third, fourth, and fifth instructions; and

the second, third, fourth, and fifth instructions are integrated into the same client application that is used to indicate that the at least one of the plurality of devices includes the at least one operating system, where, based on the indication, the first vulnerability information is received to the exclusion of the at least portion of the second vulnerability information that is not relevant to the actual vulnerabilities of the at least one operating system of the at least one of the plurality of devices.

120. (New) The non-transitory computer-readable media of Claim 119, wherein:

the actual vulnerabilities of the at least one operating system each have a Common Vulnerabilities and Exposures (CVE) identifier associated therewith to be displayed in association with the at least one of the plurality of devices, where the CVE identifier is displayed in connection with an option for, in response to a selection thereof, cause display of at least one patch associated with the CVE identifier;

the data inspection-related information includes virus signatures, and the traffic inspection-related information includes intrusion signatures; and

the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including at least seven (7) of:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,

a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

121. (New) The non-transitory computer-readable media of Claim 119, wherein:

the actual vulnerabilities of the at least one operating system each have a Common Vulnerabilities and Exposures (CVE) identifier associated therewith to be displayed in association with the at least one of the plurality of devices, where the CVE identifier is displayed



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in connection with an option for, in response to a selection thereof, cause display of at least one patch associated with the CVE identifier;

the second, third, fourth, and fifth instructions are downloaded to the at least one of the plurality of devices prior to an execution thereof;

the data inspection-related information includes virus signatures, and the traffic inspection-related information includes intrusion signatures; and

the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,



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a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

122. (New) The non-transitory computer-readable media of Claim 119, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to:

in response to receipt of group management signals, cause performance of group management functions, the group management signals including:

a first group management signal for causing performance of a first group management function to create a particular group,

a second group management signal for causing performance of a second group management function to retrieve a list of different groups,

a third group management signal for causing performance of a third group management function to retrieve group information associated with at least one of the different groups,

a fourth group management signal for causing performance of a fourth group management function to delete at least one of the different groups,

a fifth group management signal for causing performance of a fifth group management function to edit at least one of the different groups,

a sixth group management signal for causing performance of a sixth group management function to add at least one group policy associated with at least one of the different groups,



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a seventh group management signal for causing performance of a seventh group management function to retrieve the at least one group policy associated with the at least one of the different groups,

an eighth group management signal for causing performance of an eighth group management function to edit the at least one group policy associated with the at least one of the different groups, and

a ninth group management signal for causing performance of a ninth group management function to delete the at least one group policy associated with the at least one of the different groups.

123. (New) The non-transitory computer-readable media of Claim 86, wherein the other occurrence mitigation type includes an intrusion detection or prevention system-based type.

124. (New) The non-transitory computer-readable media of Claim 86, wherein the other occurrence mitigation type includes a patch management-based type.

125. (New) The non-transitory computer-readable media of Claim 86, wherein the other occurrence mitigation type includes a virus scanner-based type.

126. (New) The non-transitory computer-readable media of Claim 86, wherein the second, third, fourth, and fifth instructions are downloaded to the at least one of the plurality of devices prior to an execution thereof.

127. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to: cause display of at least one interface that provides a plurality of policy options each in connection with at least one of two or more of the third, fourth, and fifth instructions, in order to cause the utilization of the different occurrence mitigation actions of the diverse occurrence mitigation types, including the firewall-based

occurrence mitigation type and the other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing the advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices.

128. (New) The non-transitory computer-readable media of Claim 86, wherein the sixth instructions, when executed by the at least one third processor of the administrator computer, cause the at least one third processor to: cause display of at least one interface that provides at least three policy options each in connection with different ones of the third, fourth, and fifth instructions, in order to cause the utilization of the different occurrence mitigation actions of the diverse occurrence mitigation types, including the firewall-based occurrence mitigation type and the other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing the advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices.

129. (New) The non-transitory computer-readable media of Claim 116, wherein at least one of:

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

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

the second vulnerability information is utilized from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom; communicating therewith; accessing the same; or synchronizing therewith;

the second vulnerability information includes accurately identified vulnerability information;

the first vulnerability information includes a subset of the second vulnerability information such that the at least one of the plurality of potential vulnerabilities of the second vulnerability information is reclassified as the actual vulnerability;

the identified at least one of the plurality of potential vulnerabilities of the second vulnerability information is reclassified as the actual vulnerability;

the first vulnerability information is generated via a vulnerability scan operation;
the first vulnerability information includes potential vulnerability information used as actual vulnerability information;
the first device, the second device, and the third device are part of the same group;
the at least one configuration includes a configuration of the at least one operating system;
the at least one configuration includes an installation of the at least one operating system itself;
the at least one configuration includes a presence of the at least one operating system itself;
the at least one configuration includes at least one of configuration data, configuration information, or a configuration status;
the at least one configuration includes at least one of a configuration option, a policy setting, or a patch;
the at least one configuration is identified via user input in connection with at least one setting;
the occurrence mitigation by preventing advantage being taken includes at least one of removing the at least one actual vulnerability, or reducing an effect of any occurrence that takes advantage of the at least one actual vulnerability;
the firewall-based occurrence mitigation type includes at least one of: a type that mitigates the occurrence utilizing firewall functionality, or a type that mitigates the occurrence utilizing a firewall;
the different occurrence mitigation actions of the diverse occurrence mitigation types are selectively utilized across the plurality of devices to mitigate the occurrence by preventing the occurrence from taking advantage of the at least one actual vulnerability after the occurrence;
the preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions on one of the plurality of devices and utilizing a second one of the different occurrence mitigation actions on another one of the plurality of devices;
the preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of

devices, includes utilizing a first one of the different occurrence mitigation actions and a second one of the different occurrence mitigation actions on each of the plurality of devices;
the preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes completing a selected at least one of a first one of the different occurrence mitigation actions or a second one of the different occurrence mitigation actions to address the at least one actual vulnerability in connection with at least one of the plurality of devices;
the preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first actual vulnerability and utilizing a second one of the different occurrence mitigation actions for a second actual vulnerability;
the at least one actual vulnerability includes the at least one operating system;
the at least one actual vulnerability includes at least a portion of the at least one operating system;
the actual vulnerabilities include the at least one actual vulnerability;
the preventing advantage being taken of the actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices, includes utilizing a first one of the different occurrence mitigation actions for a first aspect of the at least one actual vulnerability which includes the at least one operating system and utilizing a second one of the different occurrence mitigation actions for a second aspect of the at least one operating system;
one or more of the different occurrence mitigation actions is caused after the occurrence to utilize the different occurrence mitigation actions of the diverse occurrence mitigation types;
one or more of the different occurrence mitigation actions is caused before the occurrence to utilize the different occurrence mitigation actions of the diverse occurrence mitigation types;
the different occurrence mitigation actions include different remediation actions;
the different occurrence mitigation actions of the diverse occurrence mitigation types utilized at the plurality of devices include the same set of the different occurrence mitigation actions;



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

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

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

the at least one server includes an offsite server;

the at least one server includes an onsite server;

the at least one server includes a network server;

the at least one server includes a backend server;

the first instructions include server instructions, the second instructions include device instructions, the third instructions include scanner instructions, the fourth instructions include intrusion detection instructions, the fifth instructions include firewall instructions, and the sixth instructions include administrator computer instructions;

the sixth instructions are downloaded;

the sixth instructions are accessible via a website;

the sixth instructions are downloaded via at least one page accessible via a website;

the first instructions include server software;

the first instructions are part of server software;

the first instructions include software installed on the at least one server;

the second instructions include client software;

the second instructions are part of client software;

the second instructions include software installed on the at least one of the plurality of devices;

the second instructions includes an agent;

the second instructions is part of an agent;

the second instructions is integrated with an agent;

the third instructions include client software;

the third instructions are part of client software;

the third instructions include software installed on the at least one of the plurality of devices;

the third instructions includes an agent;

the third instructions is part of an agent;

the third instructions is integrated with an agent;

the third instructions includes a virus scanner;

the fourth instructions include client software;

the fourth instructions are part of client software;

the fourth instructions include software installed on the at least one of the plurality of devices;

the fourth instructions includes an agent;

the fourth instructions is part of an agent;

the fourth instructions is integrated with an agent;

the fourth instructions includes an intrusion detection system;

the fourth instructions includes intrusion detection software;

the fifth instructions include client software;

the fifth instructions are part of client software;

the fifth instructions include software installed on the at least one of the plurality of devices;

the fifth instructions includes an agent;

the fifth instructions is part of an agent;

the fifth instructions is integrated with an agent;

the fifth instructions includes a firewall;

the fifth instructions includes firewall software;

the fifth instructions causes communication with a firewall;

the fifth instructions controls a firewall;

the sixth instructions include client software;

the sixth instructions are part of client software;

the sixth instructions include software installed on the at least one of the plurality of devices;

the sixth instructions includes an agent;

the sixth instructions is part of an agent;



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the sixth instructions is integrated with an agent;
the sixth instructions includes a firewall;
the sixth instructions includes firewall software;
the first, second, third, fourth, fifth, and sixth instructions are components of one or more of at least one of: software, code, or a kit;
the first policy is set before the first occurrence is identified, the second policy is set before the second occurrence is identified, and the third policy is set before the third occurrence is identified;
the first policy for the third instructions is for installing a first patch in connection with the third instructions, the second policy for the fourth instructions is for installing a second patch in connection with the fourth instructions, and the third policy for the fifth instructions is for installing a third patch in connection with the fifth instructions;
the first vulnerability information includes at least one of: a patch, information associated with a patch, information associated with endpoints that contain vulnerable software or that are more likely to be compromised; information associated with vulnerable software on each endpoint; information associated with policies; or information associated with vulnerability remediation;
the first vulnerability information include information associated with vulnerabilities including at least one of a security weakness, gap, or flaw that could be exploited by an attack or threat;
the second vulnerability information includes at least one of: a patch, information associated with a patch, information associated with endpoints that contain vulnerable software or that are more likely to be compromised; information associated with vulnerable software on each endpoint; information associated with policies; or information associated with vulnerability remediation;
the first vulnerability information includes at least one of rules, signatures, or anomalies;
the second vulnerability information includes at least one of rules, signatures, or anomalies;
the second vulnerability information include information associated with vulnerabilities including at least one of a security weakness, gap, or flaw that could be exploited by an attack or threat;

an entirety of the first vulnerability information is received via the at least one server;
the at least one server includes a plurality of servers;
the at least one server includes a plurality of servers from which different portions of the the first vulnerability information is received;
the at least one server includes a plurality of servers from which different portions of the the first vulnerability information is received;
the at least one server includes a plurality of servers, and the at least first processor includes a plurality of first processors including a first subset of first processors included in a first server, and a second subset of first processors included in a second server;
the at least one server includes a single server;
the at least one server does not include a single server;
the first vulnerability information is generated to address the at least one actual vulnerability;
the first vulnerability information is generated to mitigate any attack on the at least one actual vulnerability;
the first vulnerability information is generated to address the at least one actual vulnerability, by mitigating any attack on the at least one actual vulnerability;
the first vulnerability information is received, from the at least one server and at the at least one of the plurality of devices over the at least one network, by being pulled therefrom;
the first vulnerability information is received, from the at least one server and at the at least one of the plurality of devices over the at least one network, by not being pulled therefrom;
the first vulnerability information is generated utilizing the second vulnerability information, by identifying a subset of the second vulnerability information;
the first vulnerability information is generated utilizing the second vulnerability information, by identifying a subset of the second vulnerability information which is already existing;
at least one of the first, second, or third occurrences of the plurality of occurrences includes an attack;
at least one of the first, second, or third occurrences of the plurality of occurrences includes a potential attack;

at least one of the first, second, or third occurrences of the plurality of occurrences includes activity that could be an attack;

at least one of the first, second, or third occurrences of the plurality of occurrences includes activity that is an attack;

the first, second, and third occurrences of the plurality of occurrences are reported to the administrator computer;

at least one of the first, second, or third occurrences of the plurality of occurrences are reported to the administrator computer, so that the administrator computer determines that at least one of the actual vulnerabilities of the at least one of the plurality of devices is susceptible to being taken advantage, and the determination is communicated to the at least one of the plurality of devices over at least one network;

the determination that at least one of the actual vulnerabilities of the at least one of the plurality of devices is susceptible to being taken advantage, is not entirely carried out at the at least one of the plurality of devices;

the determination that at least one of the actual vulnerabilities of the at least one of the plurality of devices is susceptible to being taken advantage, is entirely carried out by the at least one of the plurality of devices;

the at least one server communicates the first vulnerability information, from the at least one server and to the at least one of the plurality of devices over at least one network, via another server;

the at least one server communicates the first vulnerability information, from the at least one server and to the at least one of the plurality of devices over at least one network, without communicating via another server;

the at least one server communicates the first vulnerability information, from the at least one server and to the at least one of the plurality of devices over at least one network, directly;

at least one of the actual vulnerabilities is patched;

none of the actual vulnerabilities are patched**;**

the determination that that the plurality of devices is actually vulnerable to the at least one actual vulnerability, is a function of at least one manual action;



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the determination that that the plurality of devices is actually vulnerable to the at least one actual vulnerability, is an automatic determination;
the determination that that the plurality of devices is actually vulnerable to the at least one actual vulnerability, is part of a vulnerability scan;
at least one of the actual vulnerabilities includes at least one of a virus, a worm, a direct compromise, and a denial of service attack;
at least one of the actual vulnerabilities includes a software component that is vulnerable to at least one of a virus, a worm, a direct compromise, and a denial of service attack;
at least one of the actual vulnerabilities includes different software components that are each vulnerable to at least one of a virus, a worm, a direct compromise, and a denial of service attack;
the occurrence is one of the first, second, or third occurrences;
different portions of the instructions are downloaded to different system components for being executed by at least one processor thereof of the one or more processors;
the at least one server instructions are stored on an onsite server;
the at least one server instructions are stored on a network operations center server;
the at least one server is in communication with the at least one second storage, by the at least one second storage being a component of the at least one server;
the at least one server is in communication with the at least one second storage, by the at least one second storage being communicatively coupled to the at least one server via at least one network;
the firewall information includes signatures;
the firewall information includes firewall signatures;
the firewall information includes intrusion-related signatures;
the firewall information includes at least one of source or destination information;
the firewall information includes data that supports an intrusion prevention system;
the data inspection-related information is configured for use in inspecting data including at least one of a file, information in code;



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the data inspection-related information is configured for use in inspecting data by scanning the data;
the data inspection-related information includes at least one of rules, signatures, or anomalies;
the data inspection-related information is configured for use in inspecting data for at least one of events, incidents, intrusions, or attacks;
the data inspection-related information includes virus signatures;
the data inspection-related information includes virus scanner signatures;
the traffic inspection-related information is configured for use in inspecting traffic including at least one of a packet, a payload, or a communication signal;
the traffic inspection-related information is configured for use in inspecting traffic by scanning the traffic;
the traffic inspection-related information includes at least one of rules, signatures, or anomalies;
the traffic inspection-related information includes instruction detection signatures;
the traffic inspection-related information is configured for use in inspecting traffic for at least one of events, incidents, intrusions, or attacks;
the traffic inspection-related information is for use by an intrusion detection system (IDS);
the traffic inspection-related information includes signatures for use by a network-based intrusion detection system (IDS);
the traffic inspection-related information includes signatures for use by a host-based intrusion detection system (IDS);
the traffic inspection-related information includes signatures for use by an intrusion prevention system (IPS);
the traffic inspection-related information includes IDS signatures;
the traffic inspection-related information includes signatures IPS signatures;
the second instructions include an agent;
the generating includes identifying;
all of the instructions are executed by each the one or more processors;

a first portion of the instructions is executed by a first processor of the one or more processors, and a second portion of the instructions is executed by a second processor of the one or more processors;

the one or more processors include the at least one first

the one or more processors include a first processor and a second processor; the receive, the identify, and the determine are performed by the first processor, and the cause utilization is performed by the second processor;

the one or more processors include a first processor and a second processor; the receive, the identify, and the determine are caused by the first processor, and the cause utilization is caused by the second processor;

the receive, the identify, the determine, and the cause utilization are performed by a single processor;

the receive, the identify, the determine, and the cause utilization are caused by a single processor;

the plurality of devices is determined to be actually vulnerable to the at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities, by identifying a subset of the second vulnerability information associated with the at least one actual vulnerability;

the at least one operating system includes a first operating system of a vender, and a second operating system of the vender;

the at least one operating system includes a first operating system of a vender, but excludes a second operating system of the vender;

the at least one of the actual vulnerabilities relevant to the firewall-related information, the at least one of the actual vulnerabilities relevant to the data inspection-related information, and the at least one of the actual vulnerabilities relevant to the traffic inspection-related information, include the same vulnerability;

the at least one of the actual vulnerabilities relevant to the firewall-related information, the at least one of the actual vulnerabilities relevant to the data inspection-related information, and

the at least one of the actual vulnerabilities relevant to the traffic inspection-related information, include different vulnerabilities;

the first policy, the second policy, and the third policy are set in response to different administrator actions;

the first policy, the second policy, and the third policy are set in response to the same administrator action;

at least one of the first policy, the second policy, or the third policy is set by at least one of being added, edited, or deleted;

the first policy, the second policy, and the third policy are set in response to one or more administrator actions detected via at least one graphical user interface;

the first policy is associated with utilizing the data inspection-related information, by controlling at least one aspect of the utilization of the data inspection-related information;

the second policy is associated with utilizing the traffic inspection-related information, by controlling at least one aspect of the utilization of the traffic inspection-related information;

the third policy is associated with utilizing the firewall-related information, by controlling at least one aspect of the utilization of the firewall-related information;

the first policy is associated with utilizing the data inspection-related information, by controlling an update of the data inspection-related information;

the second policy is associated with utilizing the traffic inspection-related information, by controlling an update of the traffic inspection-related information;

the third policy is associated with utilizing the firewall-related information, by controlling an update of the firewall-related information;

the determination that the at least one of the actual vulnerabilities corresponding with the data inspection-related information is susceptible to being taken advantage of by the first occurrence identified in connection with the at least one device, is carried out utilizing the data inspection-related information, by determining that at least a portion of the data inspection-related information matches at least one aspect of the first event;

the determination that the at least one of the actual vulnerabilities corresponding with the traffic inspection-related information is susceptible to being taken advantage of by the second

event identified in connection with the at least one device, is carried out utilizing the traffic inspection-related information, by determining that at least a portion of the traffic inspection-related information matches at least one aspect of the second event; or

the determination that the at least one of the actual vulnerabilities corresponding with the firewall-related information is susceptible to being taken advantage of by the third occurrence identified in connection with the at least one device, is carried out utilizing the firewall-related information, by determining that at least a portion of the firewall-related information matches at least one aspect of the third occurrence; and

wherein at least one network operations center (NOC) server, a data warehouse, and a software development kit (SDK) are used for allowing access to information associated with at least one vulnerability and at least one remediation technique; and

wherein a determination is made as to which devices have vulnerabilities by directly querying a firmware or operating system of the devices.

PTO/SB/06 (09-11)
Approved for use through 1/31/2014. OMB 0651-0032
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| PATENT APPLICATION FEE DETERMINATION RECORD<br>Substitute for Form PTO-875 | Application or Docket Number<br>15/608,981 | Filing Date<br>05/30/2017 | ☐ To be Mailed |
|---|---|---|---|

**ENTITY:** ☐ LARGE ☑ SMALL ☐ MICRO

## APPLICATION AS FILED - PART I

| FOR | (Column 1)<br>NUMBER FILED | (Column 2)<br>NUMBER EXTRA | | RATE ($) | FEE ($) |
|---|---|---|---|---|---|
| ☐ BASIC FEE<br>(37 CFR 1.16(a), (b), or (c)) | N/A | N/A | | N/A | |
| ☐ SEARCH FEE<br>(37 CFR 1.16(k), (i), or (m)) | N/A | N/A | | N/A | |
| ☐ EXAMINATION FEE<br>(37 CFR 1.16(o), (p), or (q)) | N/A | N/A | | N/A | |
| TOTAL CLAIMS<br>(37 CFR 1.16(i)) | minus 20 = | * | | x $40 = | |
| INDEPENDENT CLAIMS<br>(37 CFR 1.16(h)) | minus 3 = | * | | x $210 = | |
| ☐ APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | |
| ☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | | |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | | TOTAL | |

## APPLICATION AS AMENDED - PART II

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | 09/18/2020 | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * 43 | Minus | ** 45 | = 0 | | x $50 = | 0 |
| | Independent<br>(37 CFR 1.16(h)) | * 1 | Minus | *** 3 | = 0 | | x $230 = | 0 |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | 0 |

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * | Minus | ** | = | | x $0 = | |
| | Independent<br>(37 CFR 1.16(h)) | * | Minus | *** | = | | x $0 = | |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | |

| | |
|---|---|
| * If the entry in column 1 is less than the entry in column 2, write "0" in column 3. | SLIE |
| ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". | /SHANDA E ROSS/ |
| *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". | |
| The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1. | |

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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# NOTICE OF ALLOWANCE AND FEE(S) DUE

92045 7590 11/02/2020

The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |
| ART UNIT | PAPER NUMBER |
| 2438 | |

DATE MAILED: 11/02/2020

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

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

| APPLN. TYPE | ENTITY STATUS | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|---|---|---|---|---|---|---|
| nonprovisional | SMALL | $600 | $0.00 | $0.00 | $600 | 02/02/2021 |

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.**

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.**

**HOW TO REPLY TO THIS NOTICE:**

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

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

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

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

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

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





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## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), by mail or fax, or via EFS-Web.

By mail, send to: Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

By fax, send to: (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

92045 7590 11/02/2020

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Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being transmitted to the USPTO via EFS-Web or by facsimile to (571) 273-2885, on the date below.

| (Typed or printed name) |
|---|
| (Signature) |
| (Date) |

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

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|---|---|---|---|---|---|---|
| nonprovisional | SMALL | $600 | $0.00 | $0.00 | $600 | 02/02/2021 |

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|---|---|---|
| HERZOG, MADHURI R | 2438 | 726-023000 |

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

❑ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

❑ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-09 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list
(1) The names of up to 3 registered patent attorneys or agents OR, alternatively,
(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1_____
2_____
3_____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document must have been previously recorded, or filed for recordation, as set forth in 37 CFR 3.11 and 37 CFR 3.81(a). Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ❑ Individual ❑ Corporation or other private group entity ❑ Government

4a. Fees submitted: ❑Issue Fee ❑Publication Fee (if required) ❑Advance Order - # of Copies _____

4b. Method of Payment: *(Please first reapply any previously paid fee shown above)*

❑ Electronic Payment via EFS-Web ❑ Enclosed check ❑ Non-electronic payment by credit card (Attach form PTO-2038)

❑ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment to Deposit Account No. _____

5. **Change in Entity Status** (from status indicated above)

❑ Applicant certifying micro entity status. See 37 CFR 1.29

❑ Applicant asserting small entity status. See 37 CFR 1.27

❑ Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

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

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____



Forcepoint LLC
EX-1002
Page 766

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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

92045 7590 11/02/2020

The Caldwell Firm, LLC
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Dallas, TX 75229

| EXAMINER | |
|---|---|
| HERZOG, MADHURI R | |
| ART UNIT | PAPER NUMBER |
| 2438 | |

DATE MAILED: 11/02/2020

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

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

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

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

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

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

The information collected by PTOL-85 Part B is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Privacy Act Statement

**The Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

| Notice of Allowability | Application No. 15/608,981 | Applicant(s) Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | AIA (FITF) Status No |

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

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☑ This communication is responsive to 09/18/2020.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.

2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

3. ☑ The allowed claim(s) is/are See Continuation Sheet . As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see **http://www.uspto.gov/patents/init_events/pph/index.jsp** or send an inquiry to **PPHfeedback@uspto.gov.**

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

   **Certified copies:**

   a) ☐ All  b) ☐ Some  *c) ☐ None of the:

   1. ☐ Certified copies of the priority documents have been received.
   2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
   3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____ .

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____ .

   **Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☑ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date 06/23/2020 and 07/20/2020.
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material _____.
4. ☑ Interview Summary (PTO-413), Paper No./Mail Date. 10/22/2020.
5. ☑ Examiner's Amendment/Comment
6. ☑ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

Continuation of 3. The allowed claim(s) is/are: 54,86-109 and 111-129

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

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

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

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

4. Claims 55-85 have been previously cancelled.

5. Claim 110 is currently cancelled.

6. Claims 54, 86-109 and 111-129, now renumbered as claims 1-44, have been examined.

### *Information Disclosure Statement*

7. The information disclosure statements (IDSs) submitted on 06/23/2020 and 07/20/2020 are in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statements are being considered by the examiner.

## EXAMINER'S AMENDMENT

8. Authorization for this examiner's amendment was given in an interview with Mr. Patrick Caldwell on 10/22/2020.

Claims 110 and 129 have been amended as follows:

110. (Cancelled).

129. (Currently Amended) The non-transitory computer-readable media of Claim 116, wherein at least one of:

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

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

the second vulnerability information is utilized from the at least one second data storage by at least one of: receiving at least one update therefrom; pulling at least one update therefrom; communicating therewith; accessing the same; or synchronizing therewith;

the second vulnerability information includes accurately identified vulnerability information;

the first vulnerability information includes a subset of the second vulnerability information such that the at least one of the plurality of potential vulnerabilities of the second vulnerability information is reclassified as the actual vulnerability;

the identified at least one of the plurality of potential vulnerabilities of the second vulnerability information is reclassified as the actual vulnerability;

the first vulnerability information is generated via a vulnerability scan operation;

the first vulnerability information includes potential vulnerability information used as actual vulnerability information;

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

the at least one configuration includes a configuration of the at least one operating system;

the at least one configuration includes an installation of the at least one operating system itself;

the at least one configuration includes a presence of the at least one operating system itself;

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

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

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

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

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

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

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

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

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

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

the at least one actual vulnerability includes the at least one operating system; the at least one actual vulnerability includes at least a portion of the at least one operating system;

the actual vulnerabilities include the at least one actual vulnerability;

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

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

one or more of the different occurrence mitigation actions is caused before the occurrence to utilize the different occurrence mitigation actions of the diverse occurrence mitigation types; the different occurrence mitigation actions include different remediation actions;

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

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

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

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

the at least one server includes an onsite server;

the at least one server includes a network server;

the at least one server includes a backend server; the first instructions include server instructions, the second instructions include device instructions, the third instructions include scanner instructions, the fourth instructions include intrusion detection instructions, the fifth instructions include firewall instructions, and the sixth instructions include administrator computer instructions; the sixth instructions are downloaded;

the sixth instructions are accessible via a website;

the sixth instructions are downloaded via at least one page accessible via a website;

the first instructions include server software;

the first instructions are part of server software;

the first instructions include software installed on the at least one server;

the second instructions include client software;

the second instructions are part of client software;

the second instructions include software installed on the at least one of the plurality of devices;

the second instructions includes an agent;

the second instructions is part of an agent;

the second instructions is integrated with an agent;

the third instructions include client software;

the third instructions are part of client software;

the third instructions include software installed on the at least one of the plurality of devices;

the third instructions includes an agent;

the third instructions is part of an agent;

the third instructions is integrated with an agent;

the third instructions includes a virus scanner;

the fourth instructions include client software;

the fourth instructions are part of client software;

the fourth instructions include software installed on the at least one of the plurality of devices;

the fourth instructions includes an agent;

the fourth instructions is part of an agent;

the fourth instructions is integrated with an agent;

the fourth instructions includes an intrusion detection system;

the fourth instructions includes intrusion detection software;

the fifth instructions include client software;

the fifth instructions are part of client software;

the fifth instructions include software installed on the at least one of the plurality of devices;

the fifth instructions includes an agent;

the fifth instructions is part of an agent;

the fifth instructions is integrated with an agent;

the fifth instructions includes a firewall;

the fifth instructions includes firewall software;

the fifth instructions causes communication with a firewall;

the fifth instructions controls a firewall;

the sixth instructions include client software;

the sixth instructions are part of client software;

the sixth instructions include software installed on the at least one of the plurality of devices;

the sixth instructions includes an agent;

the sixth instructions is part of an agent;

the sixth instructions is integrated with an agent;

the sixth instructions includes a firewall;

the sixth instructions includes firewall software;

the first, second, third, fourth, fifth, and sixth instructions are components of one or more of at least one of: software, code, or a kit;

the first policy is set before the first occurrence is identified, the second policy is set before the second occurrence is identified, and the third policy is set before the third occurrence is identified;

the first policy for the third instructions is for installing a first patch in connection with the third instructions, the second policy for the fourth instructions is for installing a second patch in connection with the fourth instructions, and the third policy for the fifth instructions is for installing a third patch in connection with the fifth instructions;

the first vulnerability information includes at least one of: a patch, information associated with a patch, information associated with endpoints that contain vulnerable software or that are more likely to be compromised; information associated with vulnerable software on each endpoint; information associated with policies; or information associated with vulnerability remediation;

the first vulnerability information includes information associated with vulnerabilities including at least one of a security weakness, gap, or flaw that ~~could be~~ are capable of being exploited by an attack or threat;

the second vulnerability information includes at least one of: a patch, information associated with a patch, information associated with endpoints that contain vulnerable software or that are more likely to be compromised; information associated with vulnerable software on each endpoint; information associated with policies; or information associated with vulnerability remediation;

the first vulnerability information includes at least one of rules, signatures, or anomalies;

the second vulnerability information includes at least one of rules, signatures, or anomalies;

the second vulnerability information includes information associated with vulnerabilities including at least one of a security weakness, gap, or flaw that ~~could be~~ are capable of being exploited by an attack or threat;

an entirety of the first vulnerability information is received via the at least one server;

the at least one server includes a plurality of servers;

the at least one server includes a plurality of servers from which different portions of the [[the]] first vulnerability information is received;

the at least one server includes a plurality of servers from which different portions of the [[the]] first vulnerability information is received;

the at least one server includes a plurality of servers, and the at least first processor includes a plurality of first processors including a first subset of first processors included in a first server, and a second subset of first processors included in a second server; the at least one server includes a single server; the at least one server does not include a single server;

the first vulnerability information is generated to address the at least one actual vulnerability;

the first vulnerability information is generated to mitigate any attack on the at least one actual vulnerability;

the first vulnerability information is generated to address the at least one actual vulnerability, by mitigating any attack on the at least one actual vulnerability;

the first vulnerability information is received, from the at least one server and at the at least one of the plurality of devices over the at least one network, by being pulled therefrom;

the first vulnerability information is received, from the at least one server and at the at least one of the plurality of devices over the at least one network, by not being pulled therefrom;

the first vulnerability information is generated utilizing the second vulnerability information, by identifying a subset of the second vulnerability information;

the first vulnerability information is generated utilizing the second vulnerability information, by identifying a subset of the second vulnerability information which is already existing;

at least one of the first, second, or third occurrences of the plurality of occurrences includes an attack;

at least one of the first, second, or third occurrences of the plurality of occurrences includes a potential attack;

at least one of the first, second, or third occurrences of the plurality of occurrences includes activity that ~~could be~~ is capable of being an attack;

at least one of the first, second, or third occurrences of the plurality of occurrences includes activity that is an attack;

the first, second, and third occurrences of the plurality of occurrences are reported to the administrator computer;

at least one of the first, second, or third occurrences of the plurality of occurrences are reported to the administrator computer, so that the administrator

computer determines that at least one of the actual vulnerabilities of the at least one of the plurality of devices is susceptible to being taken advantage, and the determination is communicated to the at least one of the plurality of devices over at least one network;

the determination that at least one of the actual vulnerabilities of the at least one of the plurality of devices is susceptible to being taken advantage, is not entirely carried out at the at least one of the plurality of devices;

the determination that at least one of the actual vulnerabilities of the at least one of the plurality of devices is susceptible to being taken advantage, is entirely carried out by the at least one of the plurality of devices;

the at least one server communicates the first vulnerability information, from the at least one server and to the at least one of the plurality of devices over at least one network, via another server;

the at least one server communicates the first vulnerability information, from the at least one server and to the at least one of the plurality of devices over at least one network, without communicating via another server;

the at least one server communicates the first vulnerability information, from the at least one server and to the at least one of the plurality of devices over at least one network, directly;

at least one of the actual vulnerabilities is patched;

none of the actual vulnerabilities are patched;

the determination that that the plurality of devices is actually vulnerable to the at least one actual vulnerability, is a function of at least one manual action;

the determination that that the plurality of devices is actually vulnerable to the at least one actual vulnerability, is an automatic determination;

the determination that that the plurality of devices is actually vulnerable to the at least one actual vulnerability, is part of a vulnerability scan;

at least one of the actual vulnerabilities includes at least one of a virus, a worm, a direct compromise, and a denial of service attack;

at least one of the actual vulnerabilities includes a software component that is vulnerable to at least one of a virus, a worm, a direct compromise, and a denial of service attack;

at least one of the actual vulnerabilities includes different software components that are each vulnerable to at least one of a virus, a worm, a direct compromise, and a denial of service attack;

the occurrence is one of the first, second, or third occurrences;

different portions of the instructions are downloaded to different system components for being executed by at least one processor thereof of the one or more processors;

the at least one server instructions are stored on an onsite server;

the at least one server instructions are stored on a network operations center server;

the at least one server is in communication with the at least one second storage, by the at least one second storage being a component of the at least one server;

the at least one server is in communication with the at least one second storage, by the at least one second storage being communicatively coupled to the at least one server via at least one network;

the firewall information includes signatures;

the firewall information includes firewall signatures;

the firewall information includes intrusion-related signatures;

the firewall information includes at least one of source or destination information;

the firewall information includes data that supports an intrusion prevention system;

the data inspection-related information is configured for use in inspecting data including at least one of a file, information in code;

the data inspection-related information is configured for use in inspecting data by scanning the data;

the data inspection-related information includes at least one of rules, signatures, or anomalies;

the data inspection-related information is configured for use in inspecting data for at least one of events, incidents, intrusions, or attacks;

the data inspection-related information includes virus signatures; the data inspection-related information includes virus scanner signatures;

the traffic inspection-related information is configured for use in inspecting traffic including at least one of a packet, a payload, or a communication signal;

the traffic inspection-related information is configured for use in inspecting traffic by scanning the traffic; the traffic inspection-related information includes at least one of rules, signatures, or anomalies;

the traffic inspection-related information includes instruction detection signatures;

the traffic inspection-related information is configured for use in inspecting traffic for at least one of events, incidents, intrusions, or attacks;

the traffic inspection-related information is for use by an intrusion detection system (IDS);

the traffic inspection-related information includes signatures for use by a network-based intrusion detection system (IDS);

the traffic inspection-related information includes signatures for use by a host-based intrusion detection system (IDS);

the traffic inspection-related information includes signatures for use by an intrusion prevention system (IPS);

the traffic inspection-related information includes IDS signatures;

the traffic inspection-related information includes signatures IPS signatures;

the second instructions include an agent;

the generating includes identifying; all of the instructions are executed by each the one or more processors;

a first portion of the instructions is executed by a first processor of the one or more processors, and a second portion of the instructions is executed by a second processor of the one or more processors;

~~the one or more processors include the at least one first~~

the one or more processors include a first processor and a second processor;

the receive, the identify, and the determine are performed by the first processor, and the cause utilization is performed by the second processor;

the one or more processors include a first processor and a second processor; the receive, the identify, and the determine are caused by the first processor, and the cause utilization is caused by the second processor;

the receive, the identify, the determine, and the cause utilization are performed by a single processor;

the receive, the identify, the determine, and the cause utilization are caused by a single processor;

the plurality of devices is determined to be actually vulnerable to the at least one actual vulnerability based on the identified at least one configuration, utilizing the second vulnerability information that is used to identify the plurality of potential vulnerabilities, by identifying a subset of the second vulnerability information associated with the at least one actual vulnerability;

the at least one operating system includes a first operating system of a vender, and a second operating system of the vender;

the at least one operating system includes a first operating system of a vender, but excludes a second operating system of the vender;

the at least one of the actual vulnerabilities relevant to the firewall-related information, the at least one of the actual vulnerabilities relevant to the data inspection-related information, and the at least one of the actual vulnerabilities relevant to the traffic inspection-related information, include the same vulnerability;

the at least one of the actual vulnerabilities relevant to the firewall-related information, the at least one of the actual vulnerabilities relevant to the data inspection-related information, and the at least one of the actual vulnerabilities relevant to the traffic inspection-related information, include different vulnerabilities;

the first policy, the second policy, and the third policy are set in response to different administrator actions;

the first policy, the second policy, and the third policy are set in response to the same administrator action;

at least one of the first policy, the second policy, or the third policy is set by at least one of being added, edited, or deleted;

the first policy, the second policy, and the third policy are set in response to one or more administrator actions detected via at least one graphical user interface;

the first policy is associated with utilizing the data inspection-related information, by controlling at least one aspect of the utilization of the data inspection-related information;

the second policy is associated with utilizing the traffic inspection-related information, by controlling at least one aspect of the utilization of the traffic inspection-related information;

the third policy is associated with utilizing the firewall-related information, by controlling at least one aspect of the utilization of the firewall-related information;

the first policy is associated with utilizing the data inspection-related information, by controlling an update of the data inspection-related information;

the second policy is associated with utilizing the traffic inspection-related information, by controlling an update of the traffic inspection-related information;

the third policy is associated with utilizing the firewall-related information, by controlling an update of the firewall-related information;

the determination that the at least one of the actual vulnerabilities corresponding with the data inspection-related information is susceptible to being taken advantage of by the first occurrence identified in connection with the at least one device, is carried out utilizing the data inspection-related information, by determining that at least a portion of the data inspection- related information matches at least one aspect of the first event;

the determination that the at least one of the actual vulnerabilities corresponding with the traffic inspection-related information is susceptible to being taken advantage of by the second event identified in connection with the at least one device, is carried out utilizing the traffic inspection-related information, by determining that at least a portion of the traffic inspection- related information matches at least one aspect of the second event; or

the determination that the at least one of the actual vulnerabilities corresponding with the firewall-related information is susceptible to being taken advantage of by the third occurrence identified in connection with the at least one device, is carried out utilizing the firewall-related information, by determining that at least a portion of the firewall-related information matches at least one aspect of the third occurrence; and

wherein at least one network operations center (NOC) server, a data warehouse, and a software development kit (SDK) are used for allowing access to information associated with at least one vulnerability and at least one remediation technique; and

wherein a determination is made as to which devices have vulnerabilities by directly querying a firmware or operating system of the devices.

### *Allowable Subject Matter*

9. Claims 54, 86-109 and 111-129 are allowed over prior art of record.

### *Response to Arguments*

10. Applicant's arguments, see Remarks filed on 09/18/2020, have been fully considered. Applicant's arguments, especially, Remarks filed on 07/26/2019, have been fully considered and are persuasive.

### Examiner's Statement of Reasons for Allowance

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

Independent claim 54 is allowed in view of the reasons presented by the applicant in the Remarks. Claims 86-109 and 111-129 depend, directly or indirectly, on claim 54 and are therefore, allowed by virtue of their dependency.

Prior art of record Flowers teaches: A vulnerability detection system (VDS) (1) gathers information about network 100 and (2) processes that information to determine vulnerabilities. The VDS contains a rules database that contains rules that describe vulnerabilities and provide a programmatic means to check for the presence of those vulnerabilities. In particular, the information received from a network as a result of reflex testing is checked against the rules database and can be used to detect every device in the network, identify each host's operating system as well as the open ports of the host

and the applications being run on them. This information is then used to identify vulnerabilities. An intrusion detection system (IDS) examines network traffic for signs of malicious activity. The rules used by the IDS are determined by the VDS vulnerability analysis, so that only rules that describe possible intrusion conditions as they exist for the specific network are loaded. Such a Target-based IDS monitors for specific conditions to which the network has been determined to be vulnerable, as well as any range of conditions or attacks to which the network might be vulnerable.

However, Flowers fail to teach: "identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and cause utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type", Flowers teaches monitoring for attacks based on vulnerabilities identified in the network but does not teach identifying an occurrence, determining that at least one vulnerability is susceptible to being taken advantage by the occurrence and selectively utilizing diverse mitigation actions including a firewall.

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

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably

accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

***Conclusion***

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

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

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi Arani can be reached on (571)272-3787. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see https://ppair-my.uspto.gov/pair/PrivatePair. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access

to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MADHURI R. HERZOG
Primary Examiner
Art Unit 2438

/MADHURI R HERZOG/
Primary Examiner, Art Unit 2438

| *Examiner-Initiated Interview Summary* | Application No. 15/608,981 | Applicant(s) Oliphant et al. | |
|---|---|---|---|
| | Examiner MADHURI R HERZOG | Art Unit 2438 | AIA (FITF) Status No |

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

(1) MADHURI R. HERZOG. (3) ____.

(2) Patrick Caldwell. (4) ____.

Date of Interview: 22 October 2020.

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: 110 and 129.

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...)

See Continuation Sheet.

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

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

☐ Attachment

| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
|---|---|

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: The examiner informed the attorney that " the security policy threshold" recited in claim 110 was not defined in the specification and also that the overall claim seemed incomplete. The examiner also informed the attorney that claim 129 recited the word "could" in three different places which caused the scope of the claim to be indefinite and also that the 2nd paragraph on page 33 was incomplete. The attorney authorized the examiner to do an examiner's amendment to cancel claim 110, to replace the word "could" with "that is/are capable of being" and to cancel the incomplete paragraph.

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

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

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

| NONE<br>(Assistant Examiner) | (Date) | **Total Claims Allowed:**<br>44 | |
|---|---|---|---|
| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438<br>(Primary Examiner) | 22 October 2020<br>(Date) | O.G. Print Claim(s)<br>54 | O.G. Print Figure<br>6 |

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| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
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| | 15/608,981 | Oliphant et al. |
| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| INTERNATIONAL CLASSIFICATION | | | | | |
|---|---|---|---|---|---|
| **CLAIMED** | | | | | |
| H04L29/06 | / | 29 | / | 06 | |
| G06F21/57 | / | 21 | / | 57 | |
| G06F21/55 | / | 21 | / | 55 | |
| G06F21/50 | / | 21 | / | 50 | |

| NON-CLAIMED | | | | |
|---|---|---|---|---|
| | / | | / | |

| US ORIGINAL CLASSIFICATION | |
|---|---|
| **CLASS** | **SUBCLASS** |
| | |

| CROSS REFERENCES(S) | | | | | | |
|---|---|---|---|---|---|---|
| **CLASS** | **SUBCLASS (ONE SUBCLASS PER BLOCK)** | | | | | |
| | | | | | | |

| NONE<br>(Assistant Examiner) (Date) | **Total Claims Allowed:**<br>44 | |
|---|---|---|
| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438<br>(Primary Examiner) 22 October 2020 (Date) | O.G. Print Claim(s)<br>54 | O.G. Print Figure<br>6 |

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| | MADHURI R HERZOG | 2438 |

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

**CLAIMS**

| Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1 | | 18 | | 35 | | 52 | | 69 | 2 | 86 | 19 | 103 | 35 | 120 |
| | 2 | | 19 | | 36 | | 53 | | 70 | 3 | 87 | 20 | 104 | 36 | 121 |
| | 3 | | 20 | | 37 | 1 | 54 | | 71 | 4 | 88 | 21 | 105 | 37 | 122 |
| | 4 | | 21 | | 38 | | 55 | | 72 | 5 | 89 | 22 | 106 | 38 | 123 |
| | 5 | | 22 | | 39 | | 56 | | 73 | 6 | 90 | 23 | 107 | 39 | 124 |
| | 6 | | 23 | | 40 | | 57 | | 74 | 7 | 91 | 24 | 108 | 40 | 125 |
| | 7 | | 24 | | 41 | | 58 | | 75 | 8 | 92 | 25 | 109 | 41 | 126 |
| | 8 | | 25 | | 42 | | 59 | | 76 | 9 | 93 | | 110 | 42 | 127 |
| | 9 | | 26 | | 43 | | 60 | | 77 | 10 | 94 | 26 | 111 | 43 | 128 |
| | 10 | | 27 | | 44 | | 61 | | 78 | 11 | 95 | 27 | 112 | 44 | 129 |
| | 11 | | 28 | | 45 | | 62 | | 79 | 12 | 96 | 28 | 113 | | |
| | 12 | | 29 | | 46 | | 63 | | 80 | 13 | 97 | 29 | 114 | | |
| | 13 | | 30 | | 47 | | 64 | | 81 | 14 | 98 | 30 | 115 | | |
| | 14 | | 31 | | 48 | | 65 | | 82 | 15 | 99 | 31 | 116 | | |
| | 15 | | 32 | | 49 | | 66 | | 83 | 16 | 100 | 32 | 117 | | |
| | 16 | | 33 | | 50 | | 67 | | 84 | 17 | 101 | 33 | 118 | | |
| | 17 | | 34 | | 51 | | 68 | | 85 | 18 | 102 | 34 | 119 | | |

| NONE | | **Total Claims Allowed:** | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 44 | |
| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | 22 October 2020 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 54 | 6 |

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| | 15/608,981 | Oliphant et al. |
| | Examiner | Art Unit |
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| CPC - Searched* | | |
|---|---|---|
| **Symbol** | **Date** | **Examiner** |
| H04L 63/02$, 63/14$, 63/20$ | 10/22/2020 | M.H |
| G06F 21/5$ | 10/22/2020 | M.H |

| CPC Combination Sets - Searched* | | |
|---|---|---|
| **Symbol** | **Date** | **Examiner** |
| | | |

| US Classification - Searched* | | | |
|---|---|---|---|
| **Class** | **Subclass** | **Date** | **Examiner** |
| | | | |

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

| Search Notes | | |
|---|---|---|
| **Search Notes** | **Date** | **Examiner** |
| Inventor search, Assignee search | 10/22/2020 | M.H |
| East search | 10/22/2020 | M.H |
| IP.com search | 10/22/2020 | M.H |
| Consulted QAS Tod Swann | 03/18/2020 | M.H |
| Search terms: determine, detect, find, discover, uncover, analyze, examine, check, vulnerability, exploit, device, node, host, terminal, client, configuration, operation, system, os, attack, intrusion, ddos, occurrence, event, malicious, suspicious, suspect, pernicious, traffic, packet, malware, threat, firewall, ids, detection, system, prevention, choose, select, designate, pick, identify, base, depend, mitigation, patch, hotfix, remediation, second, other, different, another, advantage, susceptible, expose, liable | 10/22/2020 | M.H |
| Google Scholar search | 10/22/2020 | M.H |

| /MADHURI R HERZOG/<br>Primary Examiner, Art Unit 2438 | |
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| Interference Search | | | |
|---|---|---|---|
| **US Class/CPC Symbol** | **US Subclass/CPC Group** | **Date** | **Examiner** |
| H04L | 63/02$, 63/14$, 63/20$ with the above search terms | 10/22/2020 | M.H |
| G06F | 21/5$ with the above search terms | 10/22/2020 | M.H |

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| ✓ | Rejected | - | Cancelled | N | Non-Elected | A | Appeal |
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**CLAIMS**

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

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | 07/18/2019 | 03/18/2020 | 10/22/2020 | | | |
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| | 41 | ✓ | ✓ | ✓ | ✓ | - | - | | | |
| | 42 | ✓ | ✓ | ✓ | ✓ | - | - | | | |



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| | MADHURI R HERZOG | 2438 |

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | 07/18/2019 | 03/18/2020 | 10/22/2020 | | | |
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| 8 | 92 | | | | | | = | | | |
| 9 | 93 | | | | | | = | | | |
| 10 | 94 | | | | | | = | | | |

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| | **Examiner** | **Art Unit** |
| | MADHURI R HERZOG | 2438 |

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 06/14/2018 | 10/31/2018 | 05/06/2019 | 07/18/2019 | 03/18/2020 | 10/22/2020 | | | |
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| 12 | 96 | | | | | | = | | | |
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| 17 | 101 | | | | | | = | | | |
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| 19 | 103 | | | | | | = | | | |
| 20 | 104 | | | | | | = | | | |
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| 24 | 108 | | | | | | = | | | |
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| 40 | 125 | | | | | | = | | | |
| 41 | 126 | | | | | | = | | | |
| 42 | 127 | | | | | | = | | | |
| 43 | 128 | | | | | | = | | | |
| 44 | 129 | | | | | | = | | | |

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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

| | |
|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

**U.S.PATENTS** Remove

| 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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| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

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| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

**CERTIFICATION STATEMENT**

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

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

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See attached certification statement.

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

☒ A certification statement is not submitted herewith.

**SIGNATURE**

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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| Examiner Name | Madhuri R HERZOG |
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| Examiner Signature | /MADHURI R HERZOG/ | Date Considered | 10/13/2020 |
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| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

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See attached certification statement.

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

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**SIGNATURE**

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| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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Doc code: IDS
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| Examiner Name | Madhuri R HERZOG |
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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
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Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (02-18)
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8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.



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

**EAST Search History**

**EAST Search History (Prior Art)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
|---|---|---|---|---|---|---|
| S46 | 1 | ("20020087882").PN. | US-PGPUB; USPAT | ADJ | ON | 2020/10/13 16:01 |
| S47 | 100 | ("20010034847" \| "20020087882" \| "20020100036" \| "20020112179" \| "20020147803" \| "20030004689" \| "20030051026" \| "20030056116" \| "20030126472" \| "20030188194" \| "20030196123" \| "20040006704" \| "20040064726" \| "20040064731" \| "20040073800" \| "20040088581" \| "20040111637" \| "20040117640" \| "20040167806" \| "20040221176" \| "20040250107" \| "20050005152" \| "20050022021" \| "20050216957" \| "20060191012" \| "20080060073" \| "20120210434" \| "20150271142" \| "5796942" \| "5819255" \| "5822750" \| "5872931" \| "5951698" \| "5960170" \| "6088804" \| "6119165" \| "6119236" \| "6185689" \| "6275942" \| "6279113" \| "6298445" \| "6301668" \| "6405318" \| "6408391" \| "6513122" \| "6530024" \| "6550012" \| "6574639" \| "6636845" \| "6775675" \| "6789202" \| "6789215" \| "6898632" \| "6907531" \| "6925443" \| "6925572" \| "6952779" \| "6957348" \| "7000247" \| "7007299" \| "7085934" \| "7096503" \| "7124438" \| "7152105" \| "7159237" \| "7178166" \| "7181769" \| "7222366" \| "7234168" \| "7278161" \| "7308493" \| "7308715" \| "7331061" \| "7359626" \| "7359962" \| "7398272" \| "7409714" \| "7412721" \| "7418730" \| "7424746" \| "7516490" \| "7574740" \| "7610610" \| "7624444" \| "7650638" \| "7694128" \| "7739722" \| "7823204" \| "7913303" \| "7941854" \| "8176553" \| "8201257" \| "8225407" \| "8266703" \| "8766553" \| "8984644" \| "9100431" \| "9117069" \| "9118708" \| "9225686").PN. | US-PGPUB; USPAT | ADJ | ON | 2020/10/13 16:01 |
| S48 | 0 | S47 and (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/10/13 16:07 |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with ((malicious or suspicious or suspect or pernicious) near5 (traffic or packet) or malware) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) and (firewall) | | | | |
| S49 | 0 | S47 and (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with ((malicious or suspicious or suspect or pernicious) near5 (traffic or packet) or malware) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/10/13 16:09 |
| S50 | 183 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with (attack$4 or intrusion or ddos or dos or occurrence or event) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) and (firewall) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/10/13 16:14 |
| S51 | 135 | S50 and (choos$4 or select$4 or pick$4 or designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4) | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/10/13 16:14 |
| S52 | 132 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and S51 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/10/13 16:14 |
| S53 | 35 | (determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with | US-PGPUB; USPAT; EPO; JPO; | ADJ | ON | 2020/10/13 16:17 |

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| | | (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with ((malicious or suspicious or suspect or pernicious) near5 (traffic or packet) or malware) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit) and (firewall) | DERWENT; IBM_TDB | | | |
| S54 | 35 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and S53 | US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB | ADJ | ON | 2020/10/13 16:23 |

**EAST Search History (Interference)**

| Ref # | Hits | Search Query | DBs | Default Operator | Plurals | Time Stamp |
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| S55 | 11 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and ((determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with (attack$4 or intrusion or ddos or dos or occurrence or event or (malicious or suspicious or suspect or pernicious) near5 (traffic or packet) or malware) with (device or node or terminal or host or client or machine) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit)).clm. | USPAT | ADJ | ON | 2020/10/13 16:25 |
| S56 | 10 | S55 and ((firewall) and (ids or intrusion near3 (prevent$4 or detect$4) or ips or (second or another or different or other) near5 (mitigat$4 or remediat$4)) and (choos$4 or select$4 or pick$4 or designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4)).clm. | USPAT | ADJ | ON | 2020/10/13 16:25 |
| S57 | 10 | S55 and ((firewall) and (ids or intrusion near3 (prevent$4 or detect$4) or ips or (second or another or different or other) near5 (mitigat$4 or remediat$4))).clm. | USPAT | ADJ | ON | 2020/10/13 16:28 |

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|---|---|---|---|---|---|---|
| S58 | 5 | (H04L63/02$ or H04L63/14$ or H04L63/20$ or G06F21/5$).cpc. and ((determin$5 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4 or prob$4) with (vulnerabilit$4 or exploit) with (device or node or terminal or host or client or machine) with (configurat$4 or operating near2 system or os) and (determin$6 or detect$4 or find$4 or discover$4 or uncover$4 or analy$4 or examin$6 or check$4) with (threat) with (advantage or susceptib$6 or vulnerable or expos$4 or liab$6) with (vulnerabilit$4 or exploit)).clm. | USPAT | ADJ | ON | 2020/10/13 16:30 |
| S59 | 3 | S58 and ((firewall) and (ids or intrusion near3 (prevent$4 or detect$4) or ips or (second or another or different or other) near5 (mitigat$4 or remediat$4)) and (choos$4 or select$4 or pick$4 or designat$4 or identify$4 or identification or bas$4 or depend$4) with (mitigat$4 or patch$4 or hot$2fix$4 or remediat$4)).clm. | USPAT | ADJ | ON | 2020/10/13 16:30 |

10/22/2020 5:29:13 PM
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Doc code: IDS
Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (02-18)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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

| | |
|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| | Attorney Docket Number | SP1P012D |

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| | 1 | Travis Jones SecurityProfiling, Inc., "Patch Management Competitive Analysis (SCP0018512)," 16-Jun-03 | |
| | 2 | Trend Micro Incorporated, "Control Manager Agent Development Guide," Jan. 21, 2002 | |
| | 3 | Trend Micro Incorporated, "Getting Started Guide for Trend Micro Control Manager," Dec. 2002 | |
| | 4 | Trend Micro Incorporated, "InterScan VirusWall User's Guide," Jul-96 | |
| | 5 | Trend Micro Incorporated, "Trend Micro Client/Server Suite Getting Started Guide," Oct-02 | |
| | 6 | Trend Micro Incorporated, "Trend Micro Control Manager 2.5 Best Practices Guide," Sept. 2003 | |
| | 7 | Trend Micro Incorporated, "Trend Micro InterScan® VirusWall® 3 Administrator's Guide ("VirusWall Admin Guide")," 1999 | |
| | 8 | Trend Micro Incorporated, "Trend Micro InterScan® VirusWall® 3 Quick Start Guide," Nov. 1, 1999 | |
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| | 13 | Trend Micro Incorporated, "Trend Micro OfficeScan3 Getting Started Guide," Oct. 2000 | |
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| | 19 | Vukelich, D., Levin, D., and Lowry, J., Architecture for Cyber Command and Control: Experiences and Future Directions, IEEE (2001) | |
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| | Attorney Docket Number | SP1P012D |

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| | 23 | Wickham, Timothy, "Intrusion Detection is Dead. Long Live Intrusion Prevention!, SANS Institute InfoSec Reading Room," Apr. 21, 2003, SANS Institute | |
| | 24 | Windows IT Pro, "Retina 3.0 ("Windows IT Pro Article")," Feb. 25, 2001 | |
| | 25 | Young, Casey, "Exploring IBM e-business Software, Second Edition," 2003, Maximum Press | |

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**EXAMINER SIGNATURE**

| Examiner Signature | /MADHURI R HERZOG/ | Date Considered | 10/13/2020 |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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



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| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

**CERTIFICATION STATEMENT**

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

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

**OR**

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

**SIGNATURE**

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



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EX-1002
Page 875

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The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.



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EX-1002
Page 876

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

PTO/SB/08a (02-18)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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

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|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| | 1 | 20020087882 | A1 | 2002-07-04 | Schneier et al. | Entire Document |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

| | | | |
|---|---|---|---|
| | 1 | Check Point Software Technologies Ltd, "Getting Started with Check Point RealSecure" Version 4.1, January 2000, 50 pages | |

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| Examiner Signature | /MADHURI R HERZOG/ | Date Considered | 10/13/2020 |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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



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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | Application Number | 15608981 |
| | Filing Date | 2017-05-30 |
| | First Named Inventor | Brett M. Oliphant |
| | Art Unit | 2438 |
| | Examiner Name | Madhuri R HERZOG |
| | Attorney Docket Number | SP1P012D |

**CERTIFICATION STATEMENT**

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

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

**OR**

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

**SIGNATURE**

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

| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-06-23 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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Patent Search
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Main Concept Text
==========
determine whether a device has vulnerabilities based on the operating system of the device and determine if the device's vulnerabilities are susceptible to an attack on the network and take remediation actions to remove vulnerabilities
determine whether a device has vulnerabilities based on the configuration of the device and potential vulnerabilities. Also, determine if the device's vulnerabilities are susceptible to an attack and take remediation actions to remove vulnerabilities

(No Concept Modifiers)
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Filters (1)
==========
Earliest Priority Date: To 2002-09-27

Options
=======
De-dup: Simple Family Numbers
Cut-off: None
Sort: Relevance

Content: Patent Publications (164)
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US Patents
US Designs
US Applications
EPO Patents
EPO Applications
China Patents
China Applications
Japan Patents
Japan Applications
Korea Patents
Korea Applications
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Spain Applications
Sweden Patents
Sweden Applications
Switzerland Patents
Switzerland Applications
Ukraine Patents
Yugoslavia/Serbia and Montenegro Patents

Yugoslavia/Serbia and Montenegro Applications
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EAPO Applications
Georgia Patents
Georgia Applications
Kazakhstan Patents

Kazakhstan Applications
Russia Patents
Russia Applications
Turkey Patents
Turkey Applications

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NPL Search
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Main Concept Text
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(No Concept Modifiers)
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Filters (1)
==========
Publication Date: To 2002-09-27

Options
=======
De-dup: None
Cut-off: None
Sort: Relevance

Content: Non-Patent Literature (25)
==========
IEEE Xplore Publications: IEEE Periodicals
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Doc description: Information Disclosure Statement (IDS) Filed

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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

| | |
|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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**EXAMINER SIGNATURE**

| Examiner Signature | /MADHURI R HERZOG/ | Date Considered | 10/13/2020 |
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| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
|---|---|---|---|
| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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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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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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Doc description: Information Disclosure Statement (IDS) Filed

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

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|---|---|
| Application Number | 15608981 |
| Filing Date | 2017-05-30 |
| First Named Inventor | Brett M. Oliphant |
| Art Unit | 2438 |
| Examiner Name | Madhuri R HERZOG |
| Attorney Docket Number | SP1P012D |

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| Examiner Signature | /MADHURI R HERZOG/ | Date Considered | 10/13/2020 |
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| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
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| Name/Print | Patrick Caldwell | Registration Number | 44580 |

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## Theory and practice in assessing **vulnerability** to climate change andFacilitating adaptation

PM Kelly, WN Adger - Climatic change, 2000 - Springer

... population, factors **that** shape **vulnerability**, are all in turn institutionally **determined** ... Institutional Architecture of entitlements Responsiveness, evolution and adaptation **determines** resilience; adaptability ... predict shifts in the atmospheric circulation as these **determine** the regional ...

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## An introduction to road **vulnerability**: what has been done, is done and should be done

K Berdica - Transport policy, 2002 - Elsevier

... Route flows are **determined** from OD-flows by assuming **that** individuals choose routes in order ... This brings up the question of how to **determine whether the** system is operating or not—a ... In order to correctly assess road network performance and **decide** what should be regarded ...

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## Remedy dimension of **vulnerability** analysis

U Lindqvist, P Kaijser... - ... vid Chalmers Tekniska ..., 1999 - pdfs.semanticscholar.org

... a direct loss **if** the **vulnerability** were to be exploited by an attacker, **that** party must **decide** what **remedial** ... This will aid the owner in the next step of the process, namely, in **determining** where a remedy ... an arbitrary set of data to it [5, 14, 2]. Our first step is to **identify** the **vulnerability** ...

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## Reducing **vulnerability** of water supply systems to attack

YY Haimes, NC Matalas, JH Lambert ... - Journal of ..., 1998 - ascelibrary.org

... Cyber threats, which are within the context of information warfare [**see**, eg, Libicki (1995 ... resident system operators, fa- cility access procedures, guards, and monitors **that check** the quality of the ... Use of backflow preventers should be ex- plored to **determine if** they would improve ...

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## Assessing computer security **vulnerability**

J Alves-Foss, S Barbosa - ACM SIGOPS Operating Systems Review, 1995 - dl.acm.org

... Although useful, these tools only **detect** known system **flaws** and are not particularly portable due to ... The approach taken to **determine** the SVI is patterned after the concept of certainty factors, utilized in the ... The SVI is **determined** by a number of rules involving applicable factors ...

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## The strategic power infrastructure defense (SPID) system. A conceptual design

CC Liu, J Jung, GT Heydt, V Vittal... - IEEE Control Systems ..., 2000 - ieeexplore.ieee.org

... To **determine** the cascaded sequence of events leading to a catastrophic outage, it is also useful ... the coordination layer al- ways update the current real-world model and **check if** the plans ... A protection agent may **decide**, **based** on its individual goals, to trip a breaker; however, **if** ...

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## Protecting the nation's critical infrastructure: the **vulnerability** of US water supply systems

RM Clark, RA Deininger - Journal of contingencies and crisis ..., 2000 - Wiley Online Library

... **If** one includes human-made substances, as well as inorganic substances, one can **make** a relative ... be to shut down a part of the pumping system until the appropriate authorities **determine that** there is ... water in the tank looked black and was so turbid he could not **see** the bottom ...

☆ 99 Cited by 89 Related articles All 3 versions

## Uncertainty of groundwater **vulnerability** assessments for agricultural regions in Hawaii

K Loague, RL Bernknopf, RE Green... - Journal of ..., 1996 - Wiley Online Library

... The first priority is to **identify** which transport processes are dominant at the site and ... Finally, one must **determine if** the results from alternative models are acceptable within designated uncertainty ... Average values of a given soil property are often **determined** for a specific category ...

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## A map of security risks associated with using COTS

U Lindqvist, E Jonsson - Computer, 1998 - ieeexplore.ieee.org

... to copies (disk or backups) of the two databases, it would be an easy task to **identify** all the ... the insider threat; **that** is, when legitimate users of a system for some reason **decide** to extend ... Without a secu- rity policy, you cannot **determine if** an event is an intrusion, strictly speaking ...

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Seabed habitat on the south-eastern Australian continental shelf: context, **vulnerability** and monitoring

NJ Bax, A Williams - Marine and Freshwater Research, 2001 - CSIRO

... Part of the difficulty in **determining** and managing fishing (or any anthropogenic) effects on ... Stable isotope ratios in the sediments were measured to **identify** the source of biological ... a semi-quantitative scale, whereas the identity of the invertebrates was **determined** from samples ...

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| Signature | /Patrick Caldwell/ | Date (YYYY-MM-DD) | 2020-07-20 |
|---|---|---|---|
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Doc code: IDS
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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.R.H/

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EX-1002
Page 935

# Bibliographic Data

Application No: 15/608,981

Foreign Priority claimed: ○ Yes ◉ No

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

Verified and Acknowledged: /MADHURI R HERZOG/ Examiner's Signature | Initials

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

| FILING or 371(c) DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET NO. |
|---|---|---|---|
| 05/30/2017 | 726 | 2438 | SP1P012D |
| RULE | | | |

**APPLICANTS**

SecurityProfiling, LLC, Woodville, TX,

**INVENTORS**

Brett M. Oliphant, Plano, TX, UNITED STATES

John P. Blignaut, West Lafayette, IN, UNITED STATES

**CONTINUING DATA**

This application is a CON of 14816931 08/03/2015 PAT 10050988

14816931 is a CON of 14499230 09/28/2014 PAT 9100431

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

14138014 is a CON of 10882852 07/01/2004ABN

10882852 has PRO of 60484085 07/01/2003

**FOREIGN APPLICATIONS**

**IF REQUIRED, FOREIGN LICENSE GRANTED****

06/07/2017

**** SMALL ENTITY ****

**STATE OR COUNTRY**

UNITED STATES

**ADDRESS**

The Caldwell Firm, LLC

PO Box 59655

Dept. SVIPGP

Dallas, TX 75229

UNITED STATES

**FILING FEE RECEIVED**

$730

## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), by mail or fax, or via EFS-Web.

By mail, send to: Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

By fax, send to: (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

92045 7590 11/02/2020

The Caldwell Firm, LLC
PO Box 59655
Dept. SVIPGP
Dallas, TX 75229

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being transmitted to the USPTO via EFS-Web or by facsimile to (571) 273-2885, on the date below.

| (Typed or printed name) |
|---|
| (Signature) |
| (Date) |

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 05/30/2017 | Brett M. Oliphant | SP1P012D | 9076 |

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

| APPLN. TYPE | ENTITY STATUS | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|---|---|---|---|---|---|---|
| nonprovisional | ~~SMALL~~ | ~~$600~~ | $0.00 | $0.00 | ~~$600~~ | 02/02/2021 |
| | Regular Undiscounted | $1200 | | | $1200 | |

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|---|---|---|
| HERZOG, MADHURI R | 2438 | 726-023000 |

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-09 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list
(1) The names of up to 3 registered patent attorneys or agents OR, alternatively,
(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 Patrick E. Caldwell, Esq.
2 The Caldwell Firm, LLC
3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document must have been previously recorded, or filed for recordation, as set forth in 37 CFR 3.11 and 37 CFR 3.81(a). Completion of this form is NOT a substitute for filing an assignment.

| (A) NAME OF ASSIGNEE | (B) RESIDENCE: (CITY and STATE OR COUNTRY) |
|---|---|
| SecurityProfiling, LLC | Garland, TX |

Please check the appropriate assignee category or categories (will not be printed on the patent) : ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. Fees submitted: ☒ Issue Fee ☒ Publication Fee (if required) ☐ Advance Order - # of Copies _____

4b. Method of Payment: *(Please first reapply any previously paid fee shown above)*

☒ Electronic Payment via EFS-Web ☐ Enclosed check ☐ Non-electronic payment by credit card (Attach form PTO-2038)

☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment to Deposit Account No. _____

5. **Change in Entity Status** (from status indicated above)

☐ Applicant certifying micro entity status. See 37 CFR 1.29

☐ Applicant asserting small entity status. See 37 CFR 1.27

☐ Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

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

Authorized Signature /Patrick Caldwell/ Date 16 Nov 2020

Typed or printed name Patrick Caldwell Registration No. 44580



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Page 938

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of: | Confirmation No.: 9076 |
| Brett M. Oliphant | Examiner: Madhuri R HERZOG |
| Application No.: 15/608,981 | Art Unit: 2438 |
| File Date: 2017-05-30 | Docket No.: SP1P012D |
| Title: COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION | Date: Nov 16, 2020 |

**COMMENTS ON STATEMENT OF REASONS FOR ALLOWANCE UNDER 37 C.F.R. § 1.104(e)**

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

Examiner:

In response to the Notice of Allowance dated 11/02/2020, please enter the following remarks.



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**Remarks:**

The Examiner has stated the following in the Examiner's Statement of Reasons for Allowance:

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

Independent claim 54 is allowed in view of the reasons presented by the applicant in the Remarks. Claims 86-109 and 111-129 depend, directly or indirectly, on claim 54 and are therefore, allowed by virtue of their dependency.

Prior art of record Flowers teaches: A vulnerability detection system (VDS) (1) gathers information about network 100 and (2) processes that information to determine vulnerabilities. The VDS contains a rules database that contains rules that describe vulnerabilities and provide a programmatic means to check for the presence of those vulnerabilities. In particular, the information received from a network as a result of reflex testing is checked against the rules database and can be used to detect every device in the network, identify each host's operating system as well as the open ports of the host

and the applications being run on them. This information is then used to identify vulnerabilities. An intrusion detection system (IDS) examines network traffic for signs of malicious activity. The rules used by the IDS are determined by the VDS vulnerability analysis, so that only rules that describe possible intrusion conditions as they exist for the specific network are loaded. Such a Target-based IDS monitors for specific conditions to which the network has been determined to be vulnerable, as well as any range of conditions or attacks to which the network might be vulnerable.

However, Flowers fail to teach: "identify an occurrence in connection with at least one of the plurality of devices; determine that the at least one actual vulnerability of the at least one of the plurality of devices is susceptible to being taken advantage of by the occurrence identified in connection with the at least one of the plurality of devices, utilizing the first vulnerability information; and cause utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based occurrence mitigation type". Flowers teaches monitoring for attacks based on vulnerabilities identified in the network but does not teach identifying an occurrence, determining that at least one vulnerability is susceptible to being taken advantage by the occurrence and selectively utilizing diverse mitigation actions including a firewall.

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

In response, applicant respectfully points out that features of at least some of the independent claims (e.g., claim 54) are not necessarily the same as those the Examiner has highlighted above. For example, Claim 54 is directed to a technique "cause utilization of different occurrence mitigation actions of diverse occurrence mitigation types, including a firewall-based

occurrence mitigation type and a other occurrence mitigation type, across the plurality of devices for occurrence mitigation by preventing advantage being taken of actual vulnerabilities utilizing the different occurrence mitigation actions of the diverse occurrence mitigation types across the plurality of devices," in the context claimed.

As an additional, non-exhaustive example, Claims 54 recites the following:

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

receive first vulnerability information from at least one first data storage that is generated utilizing second vulnerability information from at least one second data storage that is used to identify a plurality of potential vulnerabilities;

said first vulnerability information generated utilizing the second vulnerability information, by:

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

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

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

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

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

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

Clearly, at least some of the independent claims are not necessarily limited to the features that the Examiner has noted in the Examiner's Statement of Reasons for Allowance, as noted above (by way of example only). Instead, each of the claims should only be limited by the language existing therein.

Further, although Applicant agrees with the Examiner's conclusion that these claims are allowable, Applicant notes that the claims may be allowable for reasons other than those identified by the Examiner and does not concede that the Examiner's characterizations of the terms of the claims and the prior art are correct. Each of the claims stands on its own merits and is patentable because of the combination it recites and not because of the presence or absence of any one particular element.

The Examiner's Statement was not prepared by Applicant and only contains the Examiner's possible positions in one or more reasons for allowability. Thus, any interpretation with respect to the Examiner's Statement of Reasons for Allowance should not be imputed to the Applicant.

Respectfully submitted,



Dated: 16 Nov 2020

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Telephone: (214) 734-2313
pcaldwell@thecaldwellfirm.com

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



Forcepoint LLC
EX-1002
Page 943

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 15608981 |
| **Filing Date:** | 30-May-2017 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Filer:** | Patrick Edgar Caldwell |
| **Attorney Docket Number:** | SP1P012D |

Filed as Large Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |
| UTILITY APPL ISSUE FEE | 1501 | 1 | 1200 | 1200 |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | | **Total in USD ($)** | **1200** |

| Electronic Acknowledgement Receipt | |
|---|---|
| **EFS ID:** | 41139148 |
| **Application Number:** | 15608981 |
| **International Application Number:** | |
| **Confirmation Number:** | 9076 |
| **Title of Invention:** | COMPUTER PROGRAM PRODUCT AND APPARATUS FOR MULTI-PATH REMEDIATION |
| **First Named Inventor/Applicant Name:** | Brett M. Oliphant |
| **Customer Number:** | 92045 |
| **Filer:** | Patrick Edgar Caldwell |
| **Filer Authorized By:** | |
| **Attorney Docket Number:** | SP1P012D |
| **Receipt Date:** | 16-NOV-2020 |
| **Filing Date:** | 30-MAY-2017 |
| **Time Stamp:** | 23:37:11 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | CARD |
| Payment was successfully received in RAM | $1200 |
| RAM confirmation Number | E2020AFN37292825 |
| Deposit Account | |
| Authorized User | |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: | |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Issue Fee Payment (PTO-85B) | SP1P012D_fee-transmittal_vF_16-Nov-2020.pdf | 226626<br>797af3fee3da157d3d2c4db130e1ddfa0e5460ca | no | 1 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Post Allowance Communication - Incoming | SP1P012D_Comments-L_vF_16-Nov-2020.pdf | 227545<br>dcb16b4fb40604cceda55f7fc77f6cdeede4ef64 | no | 5 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | Fee Worksheet (SB06) | fee-info.pdf | 30402<br>973ea2935299965d05986f1ae9198db8cb19fe15 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 484573 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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P.O. Box 1450
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www.uspto.gov

| APPLICATION NO. | ISSUE DATE | PATENT NO. | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 15/608,981 | 01/12/2021 | 10893066 | SP1P012D | 9076 |

92045 7590 12/22/2020

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Dallas, TX 75229

# ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

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

The Patent Term Adjustment is 0 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Application Assistance Unit (AAU) of the Office of Data Management (ODM) at (571)-272-4200.

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

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

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