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| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br>(Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No.                 | M0025.0369.US.D                       |  |  |
|                                                                                                                              | First Named Inventor                | Guy Larri                             |  |  |
|                                                                                                                              | Title                               | SPEECH RECOGNITION CIRCUIT AND METHOD |  |  |
|                                                                                                                              | Priority Mail Express®<br>Label No. |                                       |  |  |

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| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <b>ADDRESS TO:</b><br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450 |
| <div>1. <input type="checkbox"/> Fee Transmittal Form<br/>(PTO/SB/17 or equivalent)</div> <div>2. <input checked="" type="checkbox"/> Applicant asserts small entity status.<br/>See 37 CFR 1.27</div> <div>3. <input type="checkbox"/> Applicant certifies micro entity status. See 37 CFR 1.29.<br/>Applicant must attach form PTO/SB/15A or B or equivalent.</div> <div>4. <input checked="" type="checkbox"/> Specification [Total Pages 68]<br/>Both the claims and abstract must start on a new page.<br/>(See MPEP § 608.01(a) for information on the preferred arrangement)</div> <div>5. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 27]</div> <div>6. Inventor's Oath or Declaration [Total Pages 4]<br/>(including substitute statements under 37 CFR 1.64 and assignments<br/>serving as an oath or declaration under 37 CFR 1.63(e))<div>a. <input type="checkbox"/> Newly executed (original or copy)</div><div>b. <input checked="" type="checkbox"/> A copy from a prior application (37 CFR 1.63(d))</div></div> <div>7. <input checked="" type="checkbox"/> Application Data Sheet * See note below.<br/>See 37 CFR 1.76 (PTO/AIA/14 or equivalent)</div> <div>8. CD-ROM or CD-R<br/>in duplicate, large table, or Computer Program (Appendix)<div><input type="checkbox"/> Landscape Table on CD</div></div> <div>9. Nucleotide and/or Amino Acid Sequence Submission<br/>(if applicable, items a. - c. are required)<div>a. <input type="checkbox"/> Computer Readable Form (CRF)</div><div>b. <input type="checkbox"/> Specification Sequence Listing on:<div>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</div><div>ii. <input type="checkbox"/> Paper</div></div><div>c. <input type="checkbox"/> Statements verifying identity of above copies</div></div> |                                                                                              |

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## **Application Data Sheet**

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**Correspondence Information**

Correspondence Customer Number:: 24998

**Application Information**

Application Type:: Regular

Subject Matter:: Utility

CD-ROM or CD-R?: None

Sequence submission?: None

Computer Readable Form (CRF)?:: No

Title:: SPEECH RECOGNITION CIRCUIT  
AND METHOD

Attorney Docket Number:: M0025.0369.US.D

Request for Early Publication?: No

Request for Non-Publication?: No

Total Drawing Sheets:: 27

Small Entity?: Yes

Petition included?: No

Portions or all of the application associated with this  
Application Data Sheet may fall under a Secrecy  
Order pursuant to 37 CFR 5.2:: No

**Representative Information**

Representative Customer Number:: 24998

**Domestic Priority Information**

| Application::    | Continuity Type::                  | Parent Application::                     | Parent Filing Date:: |
|------------------|------------------------------------|------------------------------------------|----------------------|
| This Application | Divisional of                      | 14/788,164                               | 06/30/2015           |
| 14/788,164       | Continuation of                    | 13/735,091 now U.S. Patent No. 9,076,441 | 01/07/2013           |
| 13/735,091       | Continuation of                    | 13/162,128 now U.S. Patent No. 8,352,262 | 06/16/2011           |
| 13/162,128       | Divisional of                      | 11/662,704 now U.S. Patent No. 7,979,277 | 03/14/2007           |
| 11/662,704       | National Stage under 35 USC 371 of | PCT/GB2005/003554                        | 09/14/2005           |

**Foreign Priority Information**

| Country::      | Application number:: | Filing Date:: | Priority Claimed:: |
|----------------|----------------------|---------------|--------------------|
| United Kingdom | 0420464.0            | 09/14/2004    | Yes                |

**Applicant Information**

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## Authorization or Opt-Out of Authorization to Permit Access

When this Application Data Sheet is properly signed and filed with the application, applicant has provided written authority to permit a participating foreign intellectual property (IP) office access to the instant application-as-filed (see paragraph A in subsection 1 below) and the European Patent Office (EPO) access to any search results from the instant application (see paragraph B in subsection 1 below).

Should applicant choose not to provide an authorization identified in subsection 1 below, applicant **must opt-out** of the authorization by checking the corresponding box A or B or both in subsection 2 below.

**NOTE:** This section of the Application Data Sheet is **ONLY** reviewed and processed with the **INITIAL** filing of an application. After the initial filing of an application, an Application Data Sheet cannot be used to provide or rescind authorization for access by a foreign IP office(s). Instead, Form PTO/SB/39 or PTO/SB/69 must be used as appropriate.

### 1. Authorization to Permit Access by a Foreign Intellectual Property Office(s)

**A. Priority Document Exchange (PDX)** - Unless box A in subsection 2 (opt-out of authorization) is 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 State Intellectual Property Office of the People's Republic of China (SIPO), the World Intellectual Property Organization (WIPO), and any other foreign intellectual property office participating with the USPTO in a bilateral or multilateral priority document exchange agreement in which a foreign application claiming priority to the instant patent application is filed, access to: (1) the instant patent application-as-filed and its related bibliographic data, (2) any foreign or domestic application to which priority or benefit is claimed by the instant application and its related bibliographic data, and (3) the date of filing of this Authorization. See 37 CFR 1.14(h)(1).

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The applicant is reminded that the EPO's Rule 141(1) EPC (European Patent Convention) requires applicants to submit a copy of search results from the instant application without delay in a European patent application that claims priority to the instant application.

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☐ B. Applicant **DOES NOT** authorize the USPTO to transmit to the EPO any search results from the instant patent application. If this box is checked, the USPTO will not be providing the EPO with search results from the instant application.

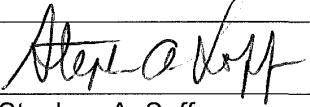
**NOTE:** Once the application has published or is otherwise publicly available, the USPTO may provide access to the application in accordance with 37 CFR 1.14.

**Signature:**

**NOTE:** This Application Data Sheet must be signed in accordance with 37 CFR 1.33(b). However, if this Application Data Sheet is submitted with the INITIAL filing of the application and either box A or B is not checked in subsection 2 of the "Authorization or Opt-Out of Authorization to Permit Access" section, then this form must also be signed in accordance with 37 CFR 1.14(c).

This Application Data Sheet must be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (e.g., corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, all joint inventors who are the applicant, or one or more joint inventor-applicants who have been given power of attorney (e.g., see USPTO Form PTO/AIA/81) on behalf of all joint inventor-applicants.

See 37 CFR 1.4(d) for the manner of making signatures and certifications.

|           |                                                                                   |                     |            |
|-----------|-----------------------------------------------------------------------------------|---------------------|------------|
| Signature |  | Date (YYYY-MM-DD)   | 2018-08-08 |
| Name      | Stephen A. Soffen                                                                 | Registration Number | 31,063     |

## **SPEECH RECOGNITION CIRCUIT AND METHOD**

This is a divisional of Application Serial No. 14/788,164, filed June 30, 2015, which is a continuation of Application Serial No. 13/735,091, filed January 7, 2013, now U.S. Patent No. 9,076,441, which is a continuation of Application Serial No. 13/162,128, filed June 16, 2011, now U.S. Patent No. 8,352,262, which is a divisional of Application Serial No. 11/662,704, filed March 14, 2007, now U.S. Patent No. 7,979,277, which is a 371 of PCT/GB2005/003554, filed September 14, 2005, which claims priority to UK Application No. 0420464.0, filed September 14, 2004, the disclosures of which are hereby incorporated by reference in their entireties.

### **BACKGROUND OF THE INVENTION**

#### **1. Field of the Invention:**

The present invention relates to speech recognition circuits and methods. These circuits and methods have wide applicability, particularly for devices such as mobile electronic devices.

#### **2. Description of the Related Art:**

There is growing consumer demand for embedded speech recognition in mobile electronic devices, such as mobile phones, dictation machines, PDAs (personal digital assistants), mobile games consoles, etc. For example, email and text message dictation, note taking, form filling, and command and control applications are all potential applications of embedded speech recognition.

However, when a medium to large vocabulary is required, effective speech recognition for mobile electronic devices has many difficulties not associated with speech recognition systems in hardware systems such as personal computers or workstations. Firstly, the available power in mobile systems is often supplied by battery, and may be severely limited. Secondly, mobile electronic devices are frequently designed to be as small as practically possible. Thus, the memory and resources of such mobile embedded systems tends to be very limited, due to power and space restrictions. The cost of providing extra memory and resources in a mobile electronic

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device is typically much higher than that for a less portable device without this space restriction. Thirdly, the mobile hardware may be typically used in a noisier environment than that of a fixed computer, e.g. on public transport, near a busy road, etc. Thus, a more complex speech model and more intensive computation may be required to obtain adequate speech recognition results.

These restrictions have made it difficult to implement effective speech recognition in mobile devices, other than with very limited vocabularies.

Some prior art schemes have been proposed to increase the efficiency of speech recognition systems, in an attempt to make them more suitable for use in mobile technology.

In an article entitled "A low-power accelerator for the SPHINX 3 speech recognition system", in University of Utah, International conference on Compilers, Architectures and Synthesis for Embedded Systems, Nov 2003, Davis et al have proposed the idea of using a special purpose co-processor for up-front calculation of the computationally expensive Gaussian output probabilities of audio frames corresponding to particular states in the acoustic model.

In an article entitled "Hardware Speech Recognition in Low Cost, Low Power Devices", University of California, Berkeley, CS252 Class Project, Spring 2003, Sukun Kim et al describe using special purpose processing elements for each of the nodes in the network to be searched. This effectively implies having a single processing element for each phone in the network. An alternative suggested by Sukun Kim et al is to provide a processor for each state in the network.

In an article entitled "Dynamic Programming Search for Continuous Speech Recognition" in IEEE Signal Processing Magazine, Sept 1999, Ney et al discuss language model lookahead. Language model lookahead involves computation of a language model factor for each node (i.e. phone) in the lexical tree. This technique is also known as smearing. Each phone instance in the search network can be given a language model factor when it is used in the lexical tree search. Ney et al show that for an example bigram language model, the average number of states per 10 ms frame can be reduced from around 168,000 states with no language model lookahead to

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around 8,000 states when language model lookahead is used. They also show that bigram language model lookahead requires about a quarter of the states compared with unigram language model lookahead.

Although these prior art documents provide improvements to speech recognition in embedded mobile technology, further improvement is still needed to provide a larger vocabulary and better accuracy.

## **SUMMARY OF THE INVENTION**

One aspect of the present invention provides a speech recognition circuit including a circuit for providing state identifiers which identify states corresponding to nodes or groups of adjacent nodes in a lexical tree, and for providing scores corresponding to said state identifiers. The lexical tree includes a model of words. The speech recognition circuit also has a memory structure for receiving and storing state identifiers identified by a node identifier identifying nodes or groups of adjacent nodes, the memory structure being adapted to allow lookup to identify particular state identifiers, reading of the scores corresponding to the state identifiers, and writing back of the scores to the memory structure after modification of the scores. An accumulator is provided for receiving score updates corresponding to particular state identifiers from a score update generating circuit which generates the score updates using audio input, for receiving scores from the memory structure, and for modifying said scores by adding said score updates to said scores. A selector circuit is used for selecting at least one node or group of nodes of the lexical tree according to said scores.

One suitable type of hardware for the memory structure includes a content addressable memory (CAM). A CAM is a memory unit which stores a series of data items using a series of addresses. However, the memory is accessed by specifying a data item, such that the CAM returns the corresponding address. This contrasts with a random access memory (RAM) in which the memory is accessed by specifying an address, such that the RAM returns the corresponding data item.

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However, the memory structure is not limited to including a CAM. Other types of hardware are also possible, to provide this functionality. For example, a single chip which operates in the same way as a CAM and RAM may be used instead.

Embodiments of the present invention provide a solution to the problem of how to map a lexical tree search to a CAM system architecture. The realisation by the present inventors that certain speech recognition data structures can be mapped into the CAMs allows a lexical tree search to be performed using a CAM system architecture.

Further embodiments of the invention include a counter for sequentially generating state identifiers, and using said generated state identifiers to sequentially lookup said states in the memory structure.

The node identifier may comprise a direct reference to the lexical tree. However, in some embodiments, the node identifier for at least some of the states includes a pointer to a node identifier for another state. For example, a state corresponding to the furthest part of the search path in the lexical tree may be referenced by a node identifier which directly links to a particular node or group of nodes in the lexical tree. In a lexical tree comprising phones, using a state model of triphones, the node identifier may indicate the position of a triphone in the lexical tree.

However, in this example, for states occurring further back in the search path, instead of supplying a node identifier linking directly to the lexical tree, instead a pointer to a node identifier of another state may be supplied. E.g. a triphone instance may have a pointer to another triphone instance, which has a pointer to another triphone instance, which has a pointer to a node or group of nodes in the lexical tree. Chains of reference may be set up in this way, where only the last state in the chain has a direct pointer to the lexical tree.

There may not be a one-to-one correspondence between the nodes of the lexical tree and the node identifiers. This will occur for a branched lexical tree, where the nodes represent monophones, but the acoustic model states represent triphones, i.e. groups of three adjacent

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monophones. Then, paths of three monophones will have unique identifiers to be stored in the memory structure, rather than single monophones having unique identifiers.

Phone instance numbers may be generated, and used to uniquely label each phone instance. They can be generated sequentially, using a counter. The phone instance numbers may be used as pointers between phone instances to assist in node identification. It is thus not essential to provide a direct node identifier for each phone instance to directly indicate a location in the lexical tree. The dynamic network of phone instances provided in the memory structure may thus include both direct and relative references to the lexical tree.

The memory structure may be divided into one part which stores phone instance identifiers and direct references to the lexical tree, and a second part which stores phone instance identifiers and corresponding states. This can speed up the processing, by only storing the phone instances which are furthest on in the lexical tree in the first part of the memory structure.

The memory structure may also be divided into separately accessible units, to reduce the amount to data in each unit, thereby decreasing the chance of finding the same two states identifiers in different phone instances in any single memory unit, and increasing the chance of some state identifiers being completely absent from any single memory unit. This makes it easier to deal with the situation when the same two state identifiers are found, because a spare time slot is available for processing when a state identifier is not present.

A further aspect of the invention provides a distance calculation engine within a speech recognition system. The distance calculation engine may be included within an accelerator. The accelerator may include logic to interface with other parts of a speech recognition circuit, in addition to the distance engine, although this is not essential. For example, the accelerator may include one or more results memories for storing distances calculated by the distance calculation engine. The accelerator may also include at least one of a memory for storing one or more acoustic models, a decompressor for decompressing acoustic data that has been stored in a compressed format, a memory for storing feature vectors, a checksum or data signature

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calculation means, buffers for data storage, and data registers. The accelerator may be implemented in software or in hardware, or in a combination. It may be physically separate to the rest of the speech recognition circuit, although this is not essential.

The distance calculation engine may calculate one or more of a wide range of distance metrics and probability distributions. The distances may represent the likely correspondance of feature vectors to states in an acoustic model. In other words, the distances can indicate the similarity of an audio data frame to each possible state in an acoustic model

There are a wide variety of probability distributions that can be used for the distance calculation stage of a speech recogniser, and a wide variety of distance metrics used. These are widely documented in the literature. A point is a simple example of a probability distribution.

A common choice is to use Gaussian Distributions and correspondingly the Mahalanobis Distance metric. The Gaussian probability distribution is then defined by a mean vector, which defines centre point in the N-dimensional space, and a Covariance matrix which defines the shape of the probability distribution. It is common to restrict the Covariance matrix to be a diagonal matrix (only N non-zero values along the diagonal of the NxN matrix) which significantly lowers the implementation cost by reducing the number of arithmetic operations.

In particular embodiments, the distance calculated is a Mahalanobis distance. Particular examples of this are described later in the specification.

In one embodiment, the distance engine autonomously computes all of the distances associated with a given feature vector. This may comprise computing distances for every state in the lexicon. The distance engine may operate in a pipelined manner with other stages of the recognition process. In this context a distance is an indication of the probability or likelihood that a feature vector corresponds to a particular state. An important class of distance computation in

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speech recognition is the calculation of output state probabilities in recognisers using Hidden Markov Models. Another possible use is in recognisers using Neural Networks.

The distance engine reads data from the acoustic models to use as parameters in the calculation. The acoustic models may be optionally stored in a compressed format. The distance engine may read and de-compress the acoustic models one (or more) times for each feature vector processed. Each reading of the acoustic models may require reading the entire acoustic model, or various optimisations may be implemented to avoid reading parts of the acoustic model that are not required to be used for calculations with the current feature vector. The distance engine may use a de-compression method where the de-compression is sign or zero extension or may otherwise convert data of narrow or variable width to a wider data format. The distance engine may use a de-compression method where the de-compression is sign or zero extension or may otherwise convert data of narrow or variable width to IEEE standard single or double precision floating point format. The distance engine may use a decompression method where decompression is a codebook decompression of a binary bitstream, where the codebook is stored as part of the acoustic model data. The distance engine may use a decompression method where the decompression is decompression of a Huffman or Lempel-Ziv compressed stream. The distance engine may use a decompression method where decompression is decompression of run length encoded data. The distance engine may use a decompression method where decompression is decompression of difference encoded data. The distance engine may use a decompression method using any well known lossy or lossless compression scheme. The distance engine may use a decompression method using subspace distribution clustering. The distance engine may use a decompression method comprising any combination of the above described decompression types. The distance engine may read the acoustic models from a dedicated on-chip memory. The distance engine may read the acoustic models from a dedicated off-chip memory. The distance engine may read the acoustic models from a shared on-chip memory. The distance engine may read the acoustic models from a shared off-chip memory. Any of these acoustic models may be compressed.

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The distance engine may compute a CRC or checksum or similar signature as it reads in the acoustic model and compares this to a stored CRC, checksum, or signature, in order to check that the acoustic model has not been corrupted, and signals an error condition if such corruption is detected. The stored CRC, Checksum, or signature may have been pre-computed and stored in the model data, or it may be computed at the time the model data is loaded into the Acoustic Model Memory. It may be held in Acoustic Model Memory, or it may be loaded into a register or another memory from where it can be accessed and compared when the CRC/checksum/signature is computed each time the Acoustic Model is loaded.

The distance engine may support the pass-through of data from the front-end to the search-stage. The data to be passed through will be supplied to the distance engine as an adjunct to the feature vector, and the distance engine will pass it to the search stage as an adjunct to the distance results. This provides a simple mechanism for passing frame-specific data that is not involved in the distance calculation through to the search stage, and keeping it associated with the correct frame, which may otherwise be complex in pipelined systems with multiple processors. The data passed through may be for any purpose. Examples might include silence detected, end-of-audio-stream detected, a frame number, information that some intervening frames have been dropped, or data from another input device such as a button or keyboard in a multi-modal interface.

The distance engine may be implemented in hardware, software, or a combination. Other stages may be implemented in hardware, software, or a combination. The distance engine may be implemented with any number representation format including fixed point or floating point arithmetic, or any mixture of number representation formats.

In particular, the other stages may be implemented on a CPU, or on a DSP and CPU. The "DSP" and "CPU" may each be implemented as software programmable devices.

The distance engine may implement one or more additional pipeline stages to overcome delays introduced by low bandwidth, high latency, or conflicted bus interfaces. The distance engine may also implement additional pipeline stages to maintain the same throughput while allowing more

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time for each distance calculation. Particular embodiments of the invention may include one or more of the above aspects.

A further aspect of the invention comprises a speech recognition circuit, comprising: an audio front end for calculating a feature vector from an audio signal, wherein the feature vector comprises a plurality of extracted and/or derived quantities from said audio signal during a defined audio time frame; calculating circuit for calculating a distance indicating the similarity between a feature vector and a predetermined acoustic state of an acoustic model; and a search stage for using said calculated distances to identify words within a lexical tree, the lexical tree comprising a model of words; a buffer memory between the calculating circuit and the search stage, for receiving data passing from the calculating circuit to the search stage, wherein a processor in the search stage has higher bandwidth and/or lower latency access to the buffer compared to the bandwidth and/or latency of direct transfer between the calculating circuit and the search stage. The data transfer from the calculating circuit to the buffer memory and/or from the buffer memory to the search stage may be performed as one or more sequential bursts.

The data transfer to the buffer memory may be performed in parallel with data transfer to the calculating circuit and/or in parallel with data transfer to the search stage. A second buffer memory may be provided between the audio front end and the calculating circuit.

A further aspect of the invention comprises a speech recognition circuit, comprising: an audio front end for calculating a feature vector from an audio signal, wherein the feature vector comprises a plurality of extracted and/or derived quantities from said audio signal during a defined audio time frame; calculating circuit for calculating a distance indicating the similarity between a feature vector and a predetermined acoustic state of an acoustic model; and a search stage for using said calculated distances to identify words within a lexical tree, the lexical tree comprising a model of words; comprising an elastic buffer between at least one of the front end and calculating circuit, or the calculating circuit and search stage, and/or for buffering said audio signal.

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A further aspect of the invention comprises an accelerator for a speech recognition circuit, the accelerator comprising: calculating means for calculating a distance indicating the similarity between a feature vector and a predetermined acoustic state of an acoustic model, wherein the feature vector comprises a plurality of extracted and/or derived quantities from an audio signal during a defined audio time frame; means for comparing a first version of a stored checksum of data representing said acoustic model and a second version of said stored checksum, wherein the second version is obtained from an updated measurement and calculation of the checksum; and means for indicating an error status if the checksums do not match.

A further aspect of the invention comprises an accelerator for a speech recognition circuit, the accelerator comprising: calculating means for calculating a distance indicating the similarity between a feature vector and a predetermined acoustic state of an acoustic model, wherein the feature vector comprises a plurality of extracted and/or derived quantities from an audio signal during a defined audio time frame; wherein said accelerator is configured to autonomously compute distances for every acoustic state defined by the acoustic model.

A further aspect of the invention comprises an accelerator for calculating distances for a speech recognition circuit, the accelerator comprising: calculating circuit for calculating distances indicating the similarity between a feature vector and a plurality of predetermined acoustic states of an acoustic model, wherein the feature vector comprises a plurality of extracted and/or derived quantities from an audio signal during a defined audio time frame; first and second storage circuit, which may be referred to as result memories, each for storing calculated distances for at least one said audio time frame, and for making said stored distances available for use by another part of the speech recognition circuit; control circuit for controlling read and write access to the first and second storage circuit, said control means being configured to allow writing to one said storage means while the other said storage means is available for reading, to allow first calculated distances for one audio time frame to be written to one said storage means while second calculated distances for an earlier audio time frame are made available for reading from the other said storage means.

Embodiments of the invention may comprise means for generating a checksum or computed signature for the acoustic model data stored in the memory, and means for comparing checksums or computed signatures that have been calculated at different times, to indicate an error status if the checksums do not match, one possible cause of such mismatch being that the acoustic model data has been overwritten by said other data and said error status being used to indicate that the acoustic model should be re-loaded into the said memory.

A further aspect of the invention comprises a speech recognition circuit comprising: lexical memory containing lexical data for word recognition, said lexical data comprising a lexical tree data structure comprising a model of words; means for accessing a state model corresponding to each phone or each group of phones in the lexical tree; a content addressable memory for storing content addressable data for each phone or group of phones, including states corresponding to said phone or group of phones, and for storing an address value for each said phone or group of phones; a RAM configured to store accumulated scores for each said phone or group of phones, the accumulated scores being addressable by said address value for each said phone or group of phones; means to obtain scores that each of a plurality of frames of an audio signals corresponds to each of a plurality of said states; a counter to sequentially search for each said state in the content addressable memory, to obtain the corresponding address value if the state is found in the content addressable memory; means to use said address value to access an accumulated likelihood and an accumulator to add said likelihood to the accumulated likelihood; means to use the phones or groups of phones with the highest accumulated scores to obtain a plurality of next phones from the lexical tree which correspond to the next phone; and output means for outputting a lexical tree path of highest likelihood.

A further aspect of the invention comprises speech recognition apparatus comprising: a lexical tree having a corresponding state model; means for obtaining scores of an audio input corresponding to each of a plurality of states in said state model; a content addressable memory for storing a marker indicating a part of the lexical tree, and one or more states associated with said part of the lexical tree; a random access memory addressable by the CAM output, to output

accumulated scores for states corresponding to said parts of the lexical tree; adder means for adding likelihood to said accumulated likelihood, to be stored back in the RAM.

A further aspect of the invention comprises speech recognition apparatus, comprising: a CAM-RAM arrangement for storing records including pointers to a lexical tree, and accumulative scores for states within the lexical tree; input means for obtaining scores that an audio frame corresponds to a particular state in the lexical tree; an accumulator for calculating the updated scores and modifying the records in the CAM-RAM accordingly; output means for outputting a path of highest likelihood in the lexical tree.

A further aspect of the invention comprises a speech recognition method comprising: storing state identifiers which identify states corresponding to nodes or groups of adjacent nodes in a lexical tree, and scores corresponding to said state identifiers in a memory structure, the lexical tree comprising a model of words and the memory structure being adapted to allow lookup to identify particular state identifiers, reading of the scores corresponding to the state identifiers, and writing back of the scores to the memory structure after modification of the scores; repeating the following sequence of steps for each of a plurality of incoming frames of an audio signal; obtaining score updates corresponding to the likelihoods that said frame of the audio signal corresponds to each of a plurality of said states; accessing said memory structure to obtain scores, updating the scores by adding score updates to the scores, and writing back the updated scores to the memory structure; determining if scores for states furthest on in the lexical tree correspond to a significant likelihood, and if so, then accessing the lexical tree to determine the next set of possible states; and storing the next set of possible states and said scores of significant likelihood in the memory structure.

A further aspect of the invention comprises speech recognition circuit comprising: a circuit for providing state identifiers which identify states corresponding to phones or groups of adjacent phones in a lexical tree, and for providing scores corresponding to said state identifiers, the lexical tree comprising a model of words; a memory structure for receiving and storing state identifiers and phone instance identifiers uniquely identifying instances of phones or groups of

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phones in the lexical tree; said memory structure being adapted to allow lookup to identify particular state identifiers, reading of the scores corresponding to the state identifiers, and writing back of the scores to the memory structure after modification of the scores; an accumulator for receiving score updates corresponding to particular state identifiers from a score update generating circuit which generates the score updates using audio input, for receiving scores from the memory structure, and for modifying said scores by adding said score updates to said scores; and a selector circuit for selecting at least one phone instance identifier according to said scores.

A speech recognition apparatus according to the invention may be embedded in or included in a mobile electronic device such as a mobile telephone, PDA (personal digital assistant), etc.

## **BRIEF DESCRIPTION OF THE DRAWINGS**

Embodiments of the present invention will now be described, by way of example only, with reference to the accompanying drawings, in which:

Figures 1A-1B are a block diagram of the system architecture for a speech recognition apparatus according to an embodiment of the invention;

Figures 2A-2B are a block diagram showing the main data structures used in the speech recognition apparatus of Figures 1A-1B;

Figures 3A-3B show a block diagram of the Single Phone Instance Network Engine (PINE) of Figure 1B;

Figure 4 is a block diagram showing the Wave Front Manager architecture;

Figure 5 shows the use of link nodes to permit path merging;

Figure 6 shows a block diagram of a Path Merge Unit in the Phone Level;

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Figure 7 shows the Phone Book architecture;

Figures 8A-8B show Lexical tree storage;

Figure 9 shows the data structure for the word link record;

Figure 10 shows a block diagram of Word Engine;

Figure 11 shows a Language Model interface architecture;

Figure 12 shows an example of a simple Loop Grammar;

Figure 13 shows a block diagram of grammar engine;

Figure 14 shows a single frame of the Audio Codec link protocol; and

Figure 15 illustrates the system timing which may be used in the embodiment of Figures 1A-1B;

Figure 16 is a block diagram showing a speech recognition circuit according to an embodiment of the invention, and illustrating data flow between parts of the circuit;

Figure 17 is a block diagram showing a distance calculation engine according to an embodiment of the invention;

Figure 18 shows ideal data flow over several time steps within a speech recognition circuit having separate front end and search stages, in an embodiment of the invention;

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Figure 19 shows an example of actual data flow over several time steps within a speech recognition circuit having separate front end and search stages, in a further embodiment of the invention;

Figure 20 shows ideal data flow over several time steps within a speech recognition circuit having a shared processor for front end and search stages, in an embodiment of the invention;

Figure 21 shows an example of actual data flow over several time steps within a speech recognition circuit having a shared processor for front end and search stages, in an embodiment of the invention;

Figure 22 shows ideal data flow in a speech accelerator pipeline with two data transfer stages, according to an embodiment of the invention; and

Figure 23 shows an example of actual data flow in a speech accelerator pipeline with two data transfer stages according to an embodiment of the invention.

## **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS**

Figures 1A-1B show a speech recognition system architecture for an embodiment of the invention. The speech recognition system is divided into several levels of operation: a state level, a phone level, a word level, a grammar level, and a system level. Each level is shown in Figures 1A-1B as a, interconnected to other levels of the system.

The information passed between different levels or subcircuits of Figures 1A-1B is indicated on Figures 1A-1B using the following identifiers.

| Identifier      | Definition                                                                                                                                            |
|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| grammar_id      | Identifies which grammar model is currently being used                                                                                                |
| grammar_node_id | Identifies a node in the grammar model                                                                                                                |
| word_id         | Uniquely identifies a word                                                                                                                            |
| wordlat_node_id | Identifies a node in the word lattice                                                                                                                 |
| LT_id           | Lexical tree identifier. Identifies the lexical tree to be used                                                                                       |
| LT_branch_id    | Identifies a unique branch in a lexical tree. A branch is defined as all of the monophones subsequent to and including the first monophone in a tree. |
| LT_node_id      | Identifies a node in a lexical tree                                                                                                                   |
| monophone_id    | Identifies a monophone                                                                                                                                |
| transvec_id     | Identifies which transition vector to use                                                                                                             |
| state_id        | Identifies the state                                                                                                                                  |
| phone_no        | Unique phone instance identifier                                                                                                                      |
| prev_phone_no   | Phone number of previous phone in network                                                                                                             |
| triphone_id     | Triphone identifier                                                                                                                                   |
| LML_factor      | Language model lookahead factor. The smeared language model score that must be added                                                                  |

The system level includes a general purpose processor and cache, a system controller, a DMA (direct memory access) controller, clocks, PLL (phased locked loop), GPIO (general purpose I/O interface), timer watch dog, memory interfaces to interface to main memory and non volatile storage, serial, host, debug and display interfaces. The system level also includes a model adaptation engine, a language model factor engine, a speech recognition system controller, a language model interface, and a recognition output interface.

The processor organises the transfer of the various models from the non volatile storage to the various model memories. It handles the language model factor requests. Language model factors are used to by the state level to apply the language model score. The language model (LM) interface provides the mechanism for obtaining LM factors as and when they are needed. The processor keeps a copy of the wave front in memory which is updated simultaneously with that in the wave front manager. Using its copy of the lexical tree, the processor can determine which language model scores may be needed in the coming frames. Once calculated, the language model factors can be kept in memory for use in subsequent frames. The system level is also used for forming speech model adaptation, and acting as an overflow for the various buffers used by the architecture.

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The system level includes the audio codec interface and the audio front end interface, connected to the processor via a APB (advanced peripheral bus) to AHB (advanced high performance bus) bridge.

The grammar level includes a grammar engine and grammar model(s). The grammar level sets out the rules of the particular recognition task at the highest level. During system initialisation a number of grammar models might be loaded, for example a command grammar and a dictation grammar. Command mode grammar is a restricted grammar which includes only a very limited lexical tree with command specific words. Some branches of this lexical tree may include multiple words together, where a command has such a structure, e.g. “open file menu”. Typically, only a single instance of the lexical tree will be needed. Command mode is used because it can obtain a higher accuracy, due to the lexical tree constraint. In dictation mode grammar, a full lexical tree structure is used.

The grammar may be selected by a user during the recognition process. For example, the command grammar may be selected when the user presses a command button. The architecture supports fast swapping of grammar models. For example, a user may be in the middle of dictating a message when a “punctuation button” is pressed and the phrase “question mark” uttered. At this point, a punctuation grammar could be loaded, in order to increase recognition accuracy.

The word level comprises a word engine, which includes a word lattice and a word graph generator. The word level has two main functions, of keeping a record of the search path at the word level using a word lattice, and interfacing to the language model via a cache. The word lattice is a record of all of the words that have been searched up to the current frame. As new words are searched, they are appended into the lattice at the appropriate place. After the final frame in the current sentence, the n-best word lattice node identifiers from the n-best scoring tokens are passed back to the word lattice. This enables the n-best sentences to be traced back through the lattice. The word lattice can also be post processed to produce a word graph which is essentially a compact version of the word lattice.

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At the word level, a record is kept of all tokens that have passed through a word end. This results in a lattice of words. When the final feature vector has been processed, the best scoring token is identified and used to trace back the search path back to the start of the search.

The phone level includes a “phone book” for generating new triphone instances, a wave front manager for sending requests to the phone book to generate new phone instances, a phone request arbiter, and a path merge unit.

The phone book includes a lexical tree, which comprises a vocabulary of words, sounds and/or phrases organised according to the phones or monophones making up the sound. A lexical tree is commonly used in speech recognition rather than a linear lexicon, because it greatly reduces the amount of storage space required to store a word vocabulary, by avoiding duplication of common word beginnings. It is also easier to search when the word beginning is known. Although it is possible to search a lexical tree based on monophones, it is well known that better results can be achieved in speech recognition by basing the lexical tree search on groups of more than one monophone, since the sound of one syllable commonly affects the pronunciation of the next syllable in the same word, or the first syllable in the next word. In this embodiment, groups of three monophones are used, and these are known as triphones. It is alternatively possible to use a different number of monophones for each group. The phone generator in the “phone book” uses data from the lexical tree to generate triphones.

In one embodiment of the invention, approximately 45 different cued mono-phones are considered. This gives of order 60,000 tri-phones. Each triphone in this embodiment is modelled by a Hidden Markov Model (HMM) with three states. There is no correspondence between individual states and individual phones of the triphone. Alternatively, it is possible to model each triphone by a single state, or by any other number of states.

The phone level is responsible for generating the search space according to the word structure specified in the grammar model and the phone structure specified by the lexical tree. The search space can be envisaged as a wave moving through an acousto-linguistic search space. In order

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that the wave can be dynamically created, a record of the wave front phone instances must be maintained. This is done in a wave front phone CAM/RAM structure, within the wave front manager. When a token occurs in the final state of a phone instance in the PINE array at the front of the wave, a new phone instance must be generated at the phone level and passed to the PINE array.

The phone instance includes a `phone_no`, which is a phone instance identifier to identify the phone uniquely in the current search. The phone instance also includes a word lattice node identifier (labelled "`word_lat_node_id`") to identify the phone's position in the word lattice, state identifiers (labelled "`state_ids`") for the HMM, storage to hold the tokens as they move through the HMM and `LM_factor` which is used to by the PINE to apply the language model score. To handle the connectivity between phone instances, a phone instance points to a previous phone instance using the `phone_no` of the previous phone. This allows tokens to be passed between phones. A "token" is a hypothesized search path, represented by a non-zero score at a particular state, and tokens are propagated through the HMM with each time frame.

The phone instance network can be visualised as a wave with new phone instances being added to the front of the wave, and empty phone instances being removed from the back of the wave. In some circumstances, the back of the wave may be in the same position as the wave front. The back of the wave moves on through the lexical tree as tokens are either moved on or pruned.

Tokens, each representing a particular hypothesis, hop through the states in the HMMs, each hop consuming a feature vector. Each token explores all possible next states which typically involves placing a token in the next state and keeping one in the current state. When there is more than one token in a state, the least likely token can be removed because both have the same word history. When a token reaches the last state of a phone instance at the from of the wave, the next phone instance(s) are requested from the phone level. The phone level uses the lexical tree to create the new phones. As well as looking up the state identification numbers for each HMM state, it also incorporates the correct language model factor.

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The language model factor engine is used to smear the language model scores across the lexical tree. This operates in two ways depending on whether the factor is needed for a word start phone(s) or word internal phones. For word internal phones, LM factors can be computed as needed, provided that the LM scores are available in cache. This is because in general the storage requirements for the LM scores are less than the storage of the LM factors for all of the factors in the branch. However when a token is in a word end phone there may be a significant number of word start phones e.g. up to (monophones)<sup>2</sup> requiring a large amount of computation. To avoid this the LM engine will pre compute word start LM factors when it seems highly likely that a token will be passed to the word starts. These word start LM factors will be held in the LM factors cache. The phone level is responsible for generating the search space according to the word structure specified in the grammar model and the phone structure specified by the lexical tree.

The state level shown in Figure 1B includes a phone instance network engine (PINE) array, a MHD (Mahalanobis distance) engine, an audio front end, a feature vector buffer for model adaptation, and compressed acoustic models. The state level is the lowest level, in which a network of phones is dynamically created.

The audio input for speech recognition is input to the front end unit of the state level. This audio input may be digital audio, or it may be analog audio which is converted to digital audio using an analog to digital converter. The audio input is divided into time frames, each time frame typically being of the order of 10ms.

For each audio input time frame, the audio signal is converted into a feature vector. This may be done by splitting the audio signal into spectral components. For example, in the present embodiment, the audio input signal is split into 12 frequency bands and one energy band, and a feature vector is constructed using these 13 components, plus their first and second derivatives, a total of 39 components.

The feature vector is passed to the MHD (Mahalanobis distance) engine. This computes all possible state output likelihoods for the current frame as the state mean and covariance data is read from the acoustic model memory.

The likelihood of each state is determined by the distance between the feature vector and each state. To reduce the number of states, a technique known as “state tying” may be used. Multiple states are grouped together in 39D space, according to their proximity to one another. An average or central value from each group is used to represent the entire group. Thus, the effective number of states may be reduced from 40,000 to 8,000. The accuracy may be improved using a language model in addition to the word recognition lexical tree. A language model is based on the probability of sequential words. The above figure of 8,000 states gives best recognition results when used with a language model.

The MHD (Mahalanobis Distance) is a distance between two N-dimensional points, scaled by the statistical variation in each component. In embodiments of the invention, the Mahalanobis distance between the feature vector and each state is calculated, to determine similarity of the feature vector to each state.

The Feature Vector represents a point in an N-dimensional space. Different embodiments of the invention may use different values of N. Generally we see values of N in the range of 20 to 39, although values outside this range are not excluded.

The distance calculator stage of the recognition process computes a probability or likelihood that a feature vector corresponds to a particular state. Each state has an associated probability distribution in the N-dimensional space. The distance calculator computes the distance in the N-dimensional space from the Feature Vector to the probability distribution for each state. In some embodiments, the calculation is performed only when the search stage algorithms determine that the distance for that particular state is needed by the search stage. In some embodiments, the distances for all of the states are calculated and made available to the search stage, which allows pipelined operation. Embodiments that do the calculations on demand are preferable.

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The Mahalanobis Distance (MHD) is extensively described in the literature. It may be calculated using the formula

$$\text{MHD value} = \ln(P(x)) = -0.5[N \ln(2\pi) + \ln|\text{Cov}|] + (-0.5 * [(x-u)' * \text{inverse}(\text{Cov}) * (x-u)])$$

where

N= number of dimensions in the space

x=feature vector, a point in the N dimensional space

u=mean vector

Cov=covariance matrix

|Cov|=determinant of covariance matrix

(a)'= transpose of matrix a

Different embodiments may use variations on this equation, for example the base for the logarithm is not always the natural base e that is used in the above example. The log of the probability is preferably calculated, rather than the probability, as it simplifies the implementation. Not all embodiments do this. In alternative embodiments, the likelihoods rather than probabilities are computed as it leads to simpler implementations of computations in the search stage.

The feature vector is used to calculate 8,000 MHD distances for each time frame, i.e. one distance for each of the 8,000 states. It is beneficial, although not essential, to perform the MHD calculations separately in a pre-processor, known as a MHD engine, because MHD calculation is a computationally intensive process.

Due to the 10ms frame length, a feature vector arrives at the MHD engine of the state level every 10ms. The MHD engine calculates the likelihood of each feature vector corresponding to each of

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a number of states derived from an acoustic model. Each state is also a 39 dimensional vector, having the same spectral components as the feature vector. The MHD engine calculates the difference in 39-D space between the feature vector and each state to obtain the likelihood for that state. A parallel MHD or a single MHD arrangement may be used.

The feature vectors may be sent to a feature vector buffer for model adaptation, which determines whether the observed features fit well with the acoustic model, and may initiate an adaptation of the model if the fit is not sufficiently good.

Scores indicating the state likelihoods or probabilities are output from the MHD engine to the PINE array. It is preferable to use likelihoods rather than probabilities, because likelihoods can be added together to give a total likelihood. Probabilities must be multiplied, which can give rise to rounding errors. In this embodiment, eight separate pines are used, each of 4 kilobytes, thus storing 4000 phones per pine.

During recognition, the Phone Instance Network Engine (PINE) Array will contain a network of phone instances. Tokens representing search hypotheses in the form of a probability(likelihood) will exist in some of the HMM states of the phone instances. The tokens are propagated into all available states and updated with the corresponding state output probabilities. Maximum model, word end and beam pruning are applied to the tokens to ensure the search space is kept bounded. When a token is in the final state of a phone model and has avoided being pruned, the PINE makes a next phone request to the Phone level. The PINE array may receive a number of new phone models from the phone level which must be appended to the appropriate existing phone.

Figure 2B shows the data structures stored in the PINE array, and other main data structures used during the acoustic search. Each PINE includes a phone instance CAM and a phone instance RAM. The phone instance CAM stores the phone instance number (labelled "phone\_no") which uniquely identifies each phone instance. The phone instance CAM also stores the state IDs of the three HMM states used to model the phone, and flags indicating the position of the phone. The "back" flag indicates if the phone is at the back of the wavefront. The "front" flag indicates if the

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phone is at the front of the wavefront. The “empty” flag indicates if there are no tokens in any of the three states for that phone. The “end” flag indicates if the phone is at the end of a word.

The phone instance RAM stores the token scores for each of the three states corresponding to each phone. The `st_dum` field indicates a dummy state, which is used to represent a state prior to the first state of the first phone. The “tmp” field is used for passing a token from a previous phone in the lexical tree to the current phone. This will be explained in more detail later. The `prev_phone_no` field is for storing a pointer to the previous phone instance in the network. The `wordlat_node_id` identifies the position of the phone instance on the word lattice node, and the `LM_factor` stores the language model factor for that phone instance.

At the phone level a record of all phones on the wave front must be maintained. If a phone instance is on the wave front, the `phone_no` stored in the phone instance CAM will point to the details in the wave front phone CAM and RAM.

The wave front phone CAM and RAM keeps pointers into the grammar and lexical tree. When a token in a wave front phone reaches the last state, the PINE array makes a request to the phone level by passing back the `phone_id`. The `phone_id` is used as a key to determining the token’s `grammar_node_id` and `LT_node_id` within the wave front CAM/RAM structure. If the token is at a word end the grammar model is checked. A grammar identifier points to the type of grammar.

At the word level, figures 2A-2B show an example word lattice structure, with silence having a `word_id` of 0, and a `wordlat_node_id` of 6. This is shown as connected to two word nodes – “which” has a `word_id` of 238 and a `wordlat_node_id` of 4, and “neither” has a `word_id` of 3556 and a `wordlat_node_id` of 5.

At the highest level, i.e. the grammar level, a simple grammar model is shown which will allow the phrase ‘silence which house silence’ or ‘silence neither house silence’ to be spoken. Whenever a word end is reached during the search, the grammar model must be consulted to determine the next possible word(s) or lexical tree(s). This allows the word lattice at the word

level, consisting of a network of words, to be assembled. Whenever a word end is reached, the word is added to the lattice and the `wordlat_node_id` updated accordingly.

Figures 3A-3B show a single phone instance network engine (PINE). At system power up the state transition RAM will be loaded with the appropriate state transition vector but the CAM and RAM memories will be empty. When the system is initialised an initial set of phone model(s) will be instantiated with a token in the dummy state and a path score of zero. The phone models are received from the phone level.

When the audio data is processed, a stream of all possible state output probabilities will be received from the MHD engine. A counter that is synchronous to the stream of state output probabilities from the MHD produces a concurrent stream of `state_ids`. The job of the CAM is to perform a search to see if the `state_id` is instantiated anywhere in the CAM `state_id` fields. If it exists and the location doesn't have its empty flag set then this indicates that a token may need to be updated. The match signal from the CAM must be encoded into an address for the RAM. The corresponding RAM address can then be read. Any token that will end up in the identified state can then have its path score updated and including any transition vector likelihood.

It is possible that a single `state_id` generates multiple CAM matches. To handle this situation the CAM and RAM are effectively decoupled by means of a match fifo and repeat count fifo. The `state_id` and corresponding `state_output_probability` are stored in the repeat count fifo. During a subsequent frame when there is no match, this `state_id` can be revisited, ignoring the matches already dealt with.

All searched phone instances corresponding to words in the current possible lexical tree are stored in the CAM-RAM. This includes phone instances at the beginning of the word, middle of the word and end of the word. These phone instances are connected by the "previous phone instance" field, which allows traceback through an entire word within the CAM-RAM.

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A mechanism is thus required to pass tokens from one phone instance to the next. This mechanism is provided by the tmp field in the RAM.

The tmp field in the RAM holds tokens during token passing.

At the start of each time frame, the audio input is converted into a feature vector, the MHD values calculated, and the MHD values used to update the token scores. After update of all tokens, 2 passes are made through the CAM-RAM, firstly for pruning, and then for token passing. The pruning in this example removes tokens of below a threshold score, although other types of pruning are also possible. The pruning may involve removing a predetermined proportion of the tokens, chosen as those of lowest likelihood. A third possible method of pruning is removing all tokens with scores below a first predetermined value, but at word ends removing all tokens with scores below a second predetermined value, the second predetermined value being greater than the first predetermined value.

The token passing works as follows. Each phone instance points back to a previous phone, due to the prev\_phone\_no field stored in the RAM. During the token passing, the third token of a previous phone is grabbed and put into the tmp field of the current phone.

In other words, if a token is on the third state, and it is not pruned, it must enter the next state of the next phone. To do this, the tokens that lie in the third state are moved across to the tmp field.

For example, phone no. 345 needs to look at phone no. 320 to see if any tokens are in the third state. If yes, it takes these tokens and puts them in the tmp field.

One field in the CAM is labelled “front”. This indicates whether the phone is on the wave front. If the phone is not on the wave front, then another phone will have picked up the token in the third state. However, if the phone is on the wave front, then no other phone will have picked up the token on the third state. Therefore, if there is a token in the third state, and the phone is on the wavefront, it is necessary to generate a next phone request.

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The current phone number, word lattice identifier and word end flag are sent to the wave front manager, to request a next phone. If the word end flag indicates a word end, then the score is also passed to the wave front manager. The score can be passed in any case, but it is only required at a word end.

The phone level generates the next phone or phones. A new phone instance starts, and all of state1, state2 and state3 have scores pre-set to zero. The old score is provided in the tmp field.

The old phone is still within the wave, but it is unlikely to be at the back of the wave at this stage. When it gets to the back of the wave, it is deleted. Until it gets there, it remains in the CAM-RAM as before. The third token remains where it was, since tokens can either stay in the third state or move on.

Note that it is possible to end up with more than one token in each state. If this occurs, then the token with the poorer score is deleted. This does not affect the result of the lexical tree search, because both tokens on the same state have exactly the same word history.

Figure 4 shows a block diagram of the wave front manager. The wave front manager is responsible for maintaining a record of the set of phone models that exist at the front of the acoustic search space. This set of phone models is referred to as the “wave front.” The key requirement for this block is to minimise the time between receiving a “next phone request” and generating the appropriate responses. The wave front manager receives the next phone requests from the PINE array and generates appropriate responses for the Phone Book, Word Engine, Path Merge Unit and Grammar engine.

The wave front manager also receives new wave front phone models from the Phone Book and updates the wave front.

The wave front manager receives the next phone request from the PINE array, via the phone request arbiter. The next phone request consists of a phone\_no, word\_end\_flag and wordlat\_node\_id. If this phone is at the end of a word, the word\_end\_flag will be set.

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The wave front manager uses the `phone_no` as input to the wave front phone CAM. As each `phone_no` is unique, it is guaranteed that only a single match will be generated. The wave front manager uses the CAM generated address to access the RAM. It then sends retrieved data from the RAM to the phone book, grammar engine, Path Merge Unit and word engine.

The wave front manager removes phone instance from CAM and RAM by writing 0's into CAM and RAM, and increments the empty count by one.

Sometime later, the wave front manager receives new phone instances from the phone book and place them in a fifo. The phone instances are taken from the fifo and written into the CAM and RAM at the next\_empty\_address. The empty\_count is decremented by one. A match is run on the "occupy" flag, and the address is placed into next\_empty\_address register.

Both the phone level and the state level make use of a path merge unit to reduce the number of possible paths, by path merging. Figure 5 shows the use of link nodes to permit path merging. In the present embodiment, all word end phone instances are linked to word start triphones with a link node. During each frame the path merge unit looks for *word end* tokens that can be recombined. This is done by looking for word end phones that have the same word\_id and word history. When they are found a link is added using the path merge unit in the PINE array.

Figure 6 shows a diagram of the architecture at the Phone level, showing the path merge unit. The path merge unit includes a path merge CAM and a path merge RAM. The path merge CAM stores word\_id, word history for two words, and an "occupy" field. The path merge RAM stores a link\_node\_id. A CAM RAM occupancy manager keeps track of the empty addresses in the CAM and RAM. The path merge unit is only passed information from the wave front manager if the phone is a *word end phone*. For each frame, there is a check to see if there is an identical word with the same history, and if there is, the link\_node\_id is passed to the path merge unit. If there isn't an identical word with the same history, a new record is written into the Path merge CAM-RAM.

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Figure 7 is a block diagram showing the Phone Book architecture. The Phone Book is tasked with generating the next phone models when given a pointer into the lexical tree. The key requirement for this block is to minimise the time between receiving a “lexical tree address” and generating the appropriate responses, in particular the next phone model instance(s).

The lexical tree is used to build the next triphones based on the current context.

| Current triphone                                             | Next triphone                                                                    | comments                                                                                                                                                          |
|--------------------------------------------------------------|----------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Left context = a<br>Central context = b<br>Right context = c | discarded<br>Left context = b<br>Central context = c<br><b>Right context = ?</b> | <b>next_leftmph_id stored in wave front manager<br/>current LT_node_id stored in wave front manager<br/>must be looked up. Large (&lt; 45) for new word start</b> |

The LT\_node\_id, next\_left\_mph\_id and prev\_phone\_no are received at the phone generator from the wavefront manager. The LT\_node\_id is then used to address the lexical tree store and return the central monophone\_id. One or more further accesses to memory are performed using the microcoded instructions, each memory access returning the right monophone\_id.

A two stage lookup is accessed using the three monophone\_ids (giving a triphone), the associated state\_ids. The phone model is assembled, and returned to the PINE array.

The wavefront manager is then updated by sending it relevant parts of the phone model.

The lexical tree store is a micro-coded ROM with both instruction and data fields. The lexical tree store holds a number of lexical trees. Each lexical tree may hold single words or multiple words. Each lexical tree comprises lexical tree elements, and each element has three fields. For now, the fields will be integers and will be converted to std\_logic\_vector later. The following is an example of the lexical tree store, with the LT data in word\_id order.

|       |             |                    |       |
|-------|-------------|--------------------|-------|
| ZERO  | z i y r o w | 19 8 12 11 0 0 0 0 | sp 0  |
| ONE   | w a h n     | 18 2 10 0 0 0 0 0  | sil 1 |
| TWO   | t u w       | 14 16 0 0 0 0 0 0  | ah 2  |
| THREE | t h r i y   | 15 12 8 0 0 0 0 0  | ay 3  |
| FOUR  | f o w r     | 6 11 12 0 0 0 0 0  | eh 4  |
| FIVE  | f a y v     | 6 3 17 0 0 0 0 0   | ey 5  |

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|       |             |                    |       |
|-------|-------------|--------------------|-------|
| SIX   | s ih k s    | 13 7 9 13 0 0 0 0  | f 6   |
| SEVEN | s eh v ih n | 13 4 17 7 10 0 0 0 | ih 7  |
| EIGHT | ey t        | 5 14 0 0 0 0 0 0   | iy 8  |
| NINE  | n ay n      | 10 3 10 0 0 0 0 0  | k 9   |
| OH    | ow          | 11 0 0 0 0 0 0 0   | n 10  |
|       |             |                    | ow 11 |
|       |             |                    | r 12  |
|       |             |                    | s 13  |
|       |             |                    | t 14  |
|       |             |                    | th 15 |
|       |             |                    | uw 16 |
|       |             |                    | v 17  |
|       |             |                    | w 18  |
|       |             |                    | z 19  |

The following shows the LT data in MP (monophone) start order.

|       |             |                    |
|-------|-------------|--------------------|
| EIGHT | ey t        | 5 14 0 0 0 0 0 0   |
| FIVE  | f ay v      | 6 3 17 0 0 0 0 0   |
| FOUR  | f ow r      | 6 11 12 0 0 0 0 0  |
| NINE  | n ay n      | 10 3 10 0 0 0 0 0  |
| OH    | ow          | 11 0 0 0 0 0 0 0   |
| SEVEN | s eh v ih n | 13 4 17 7 10 0 0 0 |
| SIX   | s ih k s    | 13 7 9 13 0 0 0 0  |
| TWO   | t uw        | 14 16 0 0 0 0 0 0  |
| THREE | th r iy     | 15 12 8 0 0 0 0 0  |
| ONE   | w ah n      | 18 2 10 0 0 0 0 0  |
| ZERO  | z iy r ow   | 19 8 12 11 0 0 0 0 |

The following is an example of the three fields of a lexical tree element. The first field is an instruction field, and the second and third fields are data fields.

| Fields: | 1st   | 2nd     | 3rd  |                   |
|---------|-------|---------|------|-------------------|
|         | instr | data    | data |                   |
|         | 2b    | 6b      | 6b   |                   |
|         | 00    | MP      | MP   | - raw data field. |
|         | 01    | br      | br   | - branch address. |
|         | 10    | br      | br   | - branch address. |
|         | 11    | word_id |      | - double field.   |

Note that there might be no difference between "01" and "10"

To build the "ey" tree, we only have to consider "EIGHT", because this is the only word in the lexical tree which starts with "ey". EIGHT is represented as "ey t", with phone\_nos 5 14 0 0 0 0 0 0. The first lexical tree element stores the raw data specifying the phone\_nos, the second lexical tree element is an end field, and the subsequent lexical tree element is set to zero.

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0 00 5 14 - raw data  
 1 11 8 0 - end field  
 2 00 0 0

To build the "f" tree, we have:

FIVE f ay v 6 3 17 0 0 0 0 0  
 FOUR f ow r 6 11 12 0 0 0 0 0

0 01 4 0 -- branch forward four places as well  
 1 00 6 3 -- as the implied other brach of next (one).  
 2 00 3 17  
 3 11 5 0 -- all addresses are relative offsets.  
 4 00 6 11  
 5 00 11 12  
 6 11 4 0  
 7 00 0 0

To build the "n" tree, we have:

NINE n ay n 10 3 10 0 0 0 0 0

0 00 10 3  
 1 00 3 10  
 2 11 9 0  
 3 00 0 0

To build the "ow" tree, we have "ow" in both the first and second data fields, as no tree is going to be a single monophone long.

OH ow 11 0 0 0 0 0 0 0  
 0 11 11 0  
 1 00 0 0

To build the "s" tree, we have:

SEVEN s eh v ih n 13 4 17 7 10 0 0 0  
 SIX s ih k s 13 7 9 13 0 0 0 0

0 01 6 0 -- branch forward six places.  
 1 00 13 4  
 2 00 4 17  
 3 00 17 7  
 4 00 7 10

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```

5 11 7 0
6 00 13 7
7 00 7 9
8 00 9 13
9 11 6 0
10 00 0 0

```

To build the "t" tree, we have:

```

TWO   t uw   14 16 0 0 0 0 0 0
0 00 14 16
1 11 2 0
2 00 0 0

```

To build the "th" tree, we have:

```

THREE   th r iy  15 12 8 0 0 0 0 0
0 00 15 12
1 00 12 8
2 11 3 0
3 00 0 0

```

To build the "w" tree, we have:

```

ONE   w ah n   18 2 10 0 0 0 0 0
0 00 18 12
1 00 12 10
2 11 1 0
3 00 0 0

```

To build the "z" tree, we have:

```

ZERO   z iy r ow  19 8 12 11 0 0 0 0
0 00 19 8
1 00 8 12
2 00 12 11
3 11 0 0
4 00 0 0

```

Once all of the branches have been built, the next stage is to concatenate the tree. It appears that four elements make a page, and each element is two bytes.

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|     |                                 |      |
|-----|---------------------------------|------|
|     |                                 | page |
| ey: | 00 5 14 11 8 0 00 0 0 00 0 0    | 5    |
| f:  | 01 4 0 00 6 3 00 3 17 11 5 0    | 6    |
|     | 00 6 11 00 11 12 11 4 0 00 0 0  | 7    |
| n:  | 00 10 3 00 3 10 11 9 0 00 0 0   | 8    |
| ow: | 11 11 0 00 0 0 00 0 0 00 0 0    | 9    |
| s:  | 01 6 0 00 13 4 00 4 17 00 17 7  | 10   |
|     | 00 7 10 11 7 0 00 13 7 00 7 9   | 11   |
|     | 00 9 13 11 6 0 00 0 0 00 0 0    | 12   |
| t:  | 00 14 16 11 2 0 00 0 0 00 0 0   | 13   |
| th: | 00 15 12 00 12 8 11 3 0 00 0 0  | 14   |
| w:  | 00 18 12 00 12 10 11 1 0 00 0 0 | 15   |
| z:  | 00 19 8 00 8 12 00 12 11 11 0 0 | 16   |

Then, the start\_lookup header is defined. Each row (page) is 8 bytes and hence the header takes 3 rows. The end\_lookup header is two rows. Therefore, the lexical tree store proper starts at the 6th (#5) page.

```

sp sil ah ay eh ey f ih - MP
0 1 2 3 4 5 6 7 - MP_id
3 0 0 0 5 0 6 0 - data stored.

```

```

iy k n ow r s t th
8 9 10 11 12 13 14 15
0 0 8 9 0 10 13 14

```

```

uw v w z . . . .
16 17 18 19 . . . .
0 0 15 16 0 0 0 0

```

The end\_lookup header is defined. 20 is out of bounds.

```

ey f n ow s t th w
5 6 10 11 13 14 15 18
z . . . . .
19 20 20 20 20 20 20 20

```

To put the above information all together:

|         |       |         |        |         |        |   |
|---------|-------|---------|--------|---------|--------|---|
| START   | sp:ih | 3 0     | 0 0    | 5 0     | 6 0    | 0 |
| LOOKUP  | iy:th | 0 0     | 8 9    | 0 10    | 13 14  | 1 |
|         | uw: v | 0 0     | 15 16  | 0 0     | 0 0    | 2 |
| END     | ey:w  | 5 6     | 10 11  | 13 14   | 15 18  | 3 |
| LOOKUP  | z     | 19 20   | 20 20  | 20 20   | 20 20  | 4 |
| LEXICAL | ey:   | 00 5 14 | 11 8 0 | 00 0 0  | 00 0 0 | 5 |
| TREE    | f:    | 01 4 0  | 00 6 3 | 00 3 17 | 11 5 0 | 6 |

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```

STORE
n:      00 6 11 00 11 12 11 4 0 00 0 0 7
ow:     00 10 3 00 3 10 11 9 0 00 0 0 8
s:      11 11 0 00 0 0 00 0 0 00 0 0 9
        01 6 0 00 13 4 00 4 17 00 17 7 10
        00 7 10 11 7 0 00 13 7 00 7 9 11
        00 9 13 11 6 0 00 0 0 00 0 0 12
t:      00 14 16 11 2 0 00 0 0 00 0 0 13
th:     00 15 12 00 12 8 11 3 0 00 0 0 14
w:      00 18 12 00 12 10 11 1 0 00 0 0 15
z:      00 19 8 00 8 12 00 12 11 11 0 0 16

```

```

3 0 0 0 5 0 6 0
0 0 8 9 0 10 13 14
0 0 15 16 0 0 0 0
5 6 10 11 13 14 15 18
19 20 20 20 20 20 20 20
00 5 14 11 8 0 00 0 0 00 0 0
01 4 0 00 6 3 00 3 17 11 5 0
00 6 11 00 11 12 11 4 0 00 0 0
00 10 3 00 3 10 11 9 0 00 0 0
11 11 0 00 0 0 00 0 0 00 0 0
01 6 0 00 13 4 00 4 17 00 17 7
00 7 10 11 7 0 00 13 7 00 7 9
00 9 13 11 6 0 00 0 0 00 0 0
00 14 16 11 2 0 00 0 0 00 0 0
00 15 12 00 12 8 11 3 0 00 0 0
00 18 12 00 12 10 11 1 0 00 0 0
00 19 8 00 8 12 00 12 11 11 0 0

```

This information is converted to hexadecimal. The first five are byte fields.

The rest are:

```

2bit - uCode.
6bit - data.
2bit - null.
6bit - data

```

```

03 00 00 00 05 00 06 00
00 00 08 09 00 0A 0D 0E
00 00 0F 10 00 00 00 00
05 06 0A 0B 0D 0E 0F 12
13 14 14 14 14 14 14 14
05 0E C8 00 00 00 00 00
84 00 06 03 03 11 C5 00
06 0B 0B 0C C4 00 00 00
0A 03 03 0A C9 09 00 00
CB 00 00 00 00 00 00 00
86 00 0D 04 04 11 11 07
07 0A C7 00 0D 07 07 09
00 0D C6 00 00 00 00 00

```

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|       |       |       |       |
|-------|-------|-------|-------|
| 0E 10 | C2 00 | 00 00 | 00 00 |
| 0F 0C | 0C 08 | C3 00 | 00 00 |
| 12 0C | 0C 0A | C1 00 | 00 00 |
| 13 08 | 08 0C | 0C 0B | C0 00 |

The above is the micro code for the digit lexical tree. It allows branching, and it holds the word\_id. It knows which lexical trees it contains and where they are housed. It also stores the possible end monophone list.

Figures 8A-8B show a further example of the Lexical Tree RAM, giving examples of different types of branching in the lexical tree, and how these are represented in the RAM.

Figure 9 is a block diagram showing the data structure that is supported for the word link record, to enable word n-best decoding. The word engine maintains a record of the words that have been currently searched by the PINE array. It is used to determine the word history and allow trace back during or at the end of search. The word history is needed to determine the language model score and whether particular paths can be recombined or merged.

Figure 10 shows a block diagram of the word engine. This is designed to allow fast access to the word history (thus allowing rapid phone creation at the phone level), and to allow reasonably fast trace back. The Word Engine is primarily a memory store that fills incrementally. The decoupling of the wordlat\_node\_id and the physical address will allow the possibility of being able to keep the WLRs for a given word in contiguous addresses, thus avoiding the need for the pointer field.

The language model interface is designed to allow the Phone Book to quickly obtain the appropriate LM factor for the phone model that it is currently constructing. Based on the phones in the wave front, all possible next LM factors can be determined. This will be done in software together with the language model factor engine. The ARM 9 will maintain its own record of the wavefront using the same next phone requests received by the wave front manager and its own copy of the lexical tree.

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Figure 11 shows the architecture of the LM interface. This allows the Phone book to quickly access the LM factor for the phone that is currently being generated. Prior to the phone generation phase LM\_factors are computed for all possible phones that may be generated in the next frame.

The grammar engine is designed to give the Phone Book a quick response to requests for the next grammar node(s). In the case of a task grammar where the lexicon may be limited to a few words(e.g. yes, no), it may be desirable to use the same lexical tree. In this case it will be necessary for the grammar, to provide lexical tree pointers such that the phone generator can jump to the appropriate part of the lexical tree.

For a speech recognition system it is also necessary to specify the grammar. Again we will use HTK's Standard Lattice Format(SLF) to specify the grammar. In practice it will be convenient to use HTK's HParse format to specify the grammar using a high level grammar notation. This can then be converted into using the HParse tool. Consider having to specify a grammar for a digit recognition task. The HParse format for this is as follows:

```
$digit = one | two | three | four | five | six | seven | eight | nine | zero
$digit_sp = $digit sp
$noise = lipsmack | breath | sil
( [sil] < $digit_sp | $noise > [sil] )
```

where | denotes alternatives, <> denotes one or more repetitions, { } denotes zero or more repetitions, [] denotes that item is optional, and () contains the grammar.

Figure 12 shows the network that is defined by this grammar. The network starts and ends with a "sil" phone, representing silence. Between the start and end, a number of possible routes correspond to further silence, a breath, a lipsmack sound, or a detected word.

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Figure 13 shows the grammar engine architecture. When a next phone request arrives, the next grammar node(s) must be retrieved from memory. In the case of a task grammar, the phone book should be given the lexical tree memory addresses to allow the phone to be determined.

Figure 14 shows a single frame of the Audio Codec (AC) link protocol used in some embodiments of the invention. The Advanced Audio CODEC Interface (AACI) is an ARM Primecell that provides an interface to off-chip AC97 audio codecs. AC97 is Intel's audio codec specification, initially created for the PC market. The AACI is an AMBA slave block that connects to the Advanced Peripheral bus (APB). The AACI connects to the off-chip codec using the AC-link protocol.

The AC-link protocol is a bi-directional, fixed clock rate, serial digital stream. AC-link handles multiple input and output PCM audio streams as well as register control accesses. It employs a time division multiplexed (TDM) scheme that divides each audio frame into 12 outgoing and 12 incoming data streams each with up to 20 bit sample resolution. The tag slots are used to indicate which of the subsequent slots contain valid data. Add and dat are the control register address and data slots for read and writes. The adc slots contain the outputs from the analog to digital converters. Assuming that the ADC sample rate is set to 16 kHz then the AC-link controller will receive 16 bits of data every third codec frame.

The AACI has 4 channels that can be operated simultaneously. They are accessed through DMA.

Figure 15 shows the system timing. Each frame is divided into three sections:

- Token update (MHD wash)
- First pass - inter phone token passing
- Second pass – garbage collection, max model pruning

The horizontal direction of the figure indicates elapsing time, and various subcircuits and processes are indicated along the vertical direction of the figure. The top part of the diagram shows frame count, and push to dictate button, and the lower part of the diagram shows various

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subcircuits and processes, within a single time frame, whilst the push to dictate button is engaged. These subcircuits and processes are language model interface, word engine, phone book, PINE array, MHD engine, mean & covar reg, and feature vector reg.

At the start of the time frame, the feature vector is generated, and the MHD values are calculated. The MHD values are then passed to the PINE array, which engages in beam pruning and token score updating. The phone book receives next phone requests and returns next phone responses. The word engine adds word link records, and the language model interface supplies language model factors.

In the second part of the frame, pruning thresholds are calculated for the PINE array, for the next frame, and the PINE array engages in token passing. The language model interface transfers language model factors for the next frame.

While the “push to dictate” button remains activated, the above process repeats in a sequence of frames.

The embodiments of the invention which are now described relate to a distance engine for calculation of Mahalanobis Distances.

Figure 16 shows a block diagram of a speech recognition system according to an embodiment of the invention. The system includes a microphone 100, which outputs an audio signal to a combined AGC (automatic gain control) and ADC (analogue to digital converter) 101. In alternative embodiments, the AGC and ADC may be separate. In this embodiment, the incoming data comes from a microphone, and is then converted to digital format. However, it is also possible that the digital audio data may be received from a network, or may be read from storage means such as a memory, an optical disk, or a hard disk drive.

The digital audio data output from the ADC is input to an audio data buffer 102, and may be held here until required. The data is then output from the audio data buffer 102 to a front end circuit

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103. The incoming audio data is divided into frames, as described above. In cases where the system is extremely busy, it is possible to drop some audio frames, to allow the system to catch up with any backlog.

In the audio front end circuit 103, the audio is split into spectral components to generate a feature vector, as described above. For example, the feature vector may have a number of frequency bands, and an energy band, plus their first and second derivatives. The feature vector is then output from the front end 103 to the distance calculation engine 104.

The distance calculation engine 104 converts feature vectors into Mahalanobis distances . The acoustic model may be chosen from a plurality of acoustic models, e.g. according to the language used, and may be stored in a storage means 105 such as a memory, a disk drive, etc. The distances calculated by the distance calculation engine are then transferred to the search stage 106 of the speech processing circuit, which uses models such as one or more word models and/or language models to generate and output recognised text. Such word and language models may be stored in a separate storage means 107.

In one embodiment, the distance calculation engine uses Mahalanobis Distance (MHD) calculations to determine distance values for output to the search stage 106. In further embodiments, different types of distance calculations may be used, e.g as described above.

In some embodiments of the invention, the distance calculation engine is designed as a speech accelerator, to operate as a loosely bound co-processor for a CPU running speech recognition software. This has the advantage of reducing computational load on the CPU, and reducing memory bandwidth load for the CPU.

In some embodiments, the accelerator interface is memory-mapped. Other types of interface are also possible to support different system configurations, for example removable accelerator cards with SDIO (secure digital input/output), CardBus, or USB interfaces.

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The speech recognition apparatus may also operate with a CPU and DSP (digital signal processor), where the DSP implements the "front-end" signal processing to produce a feature vector, and the CPU implements the search stage, reading the distance results from the distance calculation engine.

The system may be implemented in any combination of hardware or software.

In some embodiments of the invention the search stage 106 provides the distance calculation engine 104 with an active state list 108 that indicates the subset of states for which the search stage requires distances to be calculated by the distance calculation engine 104. This is an optimization that may reduce computation time and/or power consumption.

In preferred embodiments of the invention, the front end 103, distance calculation engine 104 and the search stage 106 operate in a pipelined manner. When operating in a pipelined manner it is unlikely that the search stage 106 will be able to provide the active state list 108 early enough for the distance calculation engine 104 to implement the optimization of computing only the distances that will be required by the search stage 106. The distance calculation circuit 104 may calculate the MHD values for every state in the lexicon, per frame, whether it is subsequently required by the search stage or not. This allows the accelerator and software system to operate in a concurrent pipelined manner, which maximizes the system throughput.

The distance calculation engine 104 may have a plurality of memory areas for storing feature vectors, to allow a feature vector for one frame to be transferred to one memory area in the distance calculation engine 104, while another feature vector for another frame is being read from a second memory area, for calculation of a distance. The memory areas used for reading and writing may alternate with subsequent frames.

Figure 17 shows a block diagram of a distance calculation accelerator 200, used in an embodiment of the invention. A feature vector is received at input 212 of the accelerator 200.

The feature vector is loaded into feature vector (FV) memory A 208 via a bus 211. In reality, there may be more than a single bus, but for simplicity, only one bus 211 is shown in the figure.

The registers 203 are discussed further at the end of this description. The registers 203 may include, for example, an accelerator status register, for indicating whether the acoustic model data is correctly stored in memory, as described in more detail below.

The FV registers 209 hold the feature vector whose distances are currently being computed by the distance calculation engine 204. If the distance calculation engine 204 is implemented in software, the FV registers might be implemented as memory attached to the processor running the software. If the distance calculation engine 204 is implemented in hardware the FV registers might be implemented as logic or as a memory block. The FV registers 209 are loaded from the FV memory 208 when the Distance Calculation Engine 204 has completed distance calculations for the current feature vector and a subsequent feature vector is available in the FV memory 208. In some embodiments there is an optional FIFO associated with FV registers 209 so that the FIFO is loaded from the FV memory 208 when there is a subsequent feature vector in the FV memory 208 and there is a space in the FIFO. In these embodiments the FV Registers 209 are loaded from the associated optional FIFO 209 when the Distance Calculation Engine 204 has completed calculations for the current feature vector and there is a subsequent feature vector in the associated optional FIFO 209. The presence of the FIFO 209 provides for a looser coupling between the Front End 103 and the accelerator 200 which improves performance in some system configurations.

Each feature vector is transferred to a distance calculation engine circuit 204, to obtain distances for each state of the acoustic model. The acoustic model is stored in an acoustic model memory 205, which is connected to the bus 211, for control of reading/writing to the memory. In some embodiments, this also allows acoustic models to be changed or updated via the bus. The acoustic model may be stored in compressed form in the acoustic model memory 205. A decompressor 206 is provided on the data output of the acoustic model memory. The decompressor 206 can decompress the results as they are needed, and thus allows a much smaller

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size of acoustic memory to be used, than with uncompressed data. From the decompressor 206, the decompressed acoustic model states are sent to the distance calculation engine 204.

The distance calculation engine 204 converts feature vectors and acoustic model states to distances. The accelerator 200 includes two separate results memories for storing these calculated distances, labelled as “result memory A” 201 and “result memory B” 202.

The control, sequencing, and address generation 210 is logic, state machines, and/or software programs that provide overall control of the other elements of the accelerator, taking inputs from the registers 203, and all the other elements and interfaces to determine when to start and stop the Distance Calculation Engine 204. The control 210 also produces addresses and control signals to control the reading and writing of the memories 201, 202, 205 and 208, to control the flow of data between the various elements of the accelerator 200, the operation of the Decompressor 206, CRC check 207 and Distance Calculation Engine 204, and to control the setting or clearing or status bits in the Registers 203 and to control signalling to the front end 103 and search stage 106. The control 210 is implemented using any of the widely known and used methods of controlling and sequencing in digital systems including logic gates, state machines, and embedded software systems. The control 210 might be a centralized control, or it might be distributed in some or all of the other elements of the accelerator 200, or some combination of these.

Each time a feature vector is loaded into the accelerator, the accelerator computes the distances for all states for that feature vector, and stores the results alternately in the A or B Results Memory. The results are written to one of the two memories 201, 202, while the other memory is available for reading. Thus, while the distance calculation engine 204 is storing the distances calculated for one audio frame, the other result memory may make available the distances calculated for an earlier audio frame, to the search stage of the speech recognition system. For non-real time processing, “earlier” audio frame may refer to an audio frame that has been processed earlier, rather than being limited to an audio frame that corresponds to speech at an earlier time.

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Thus, the search stage software reads results alternatively from the A or B result memory, while the accelerator writes results into the other result memory, allowing concurrent pipelined operation of the accelerator and the CPU [and the DSP if present].

In some implementations the A and B results memories may be exposed to the software interface as separate memories appearing at different locations in the CPU and/or DSP memory map. Another implementation is to map each memory alternatively to the same range of addresses in the CPU and/or DSP memory map, so that the software always accesses results at the same location, and the memory containing the set of results the software currently needs to access is the one mapped there.

The accelerator may autonomously load and decompress an acoustic model, which is stored in a compressed format in the acoustic model memory 205. The Acoustic Model may be loaded into the Acoustic Model Memory by software running on the CPU prior to the first use of the Accelerator. The Acoustic Model Memory may be an on-chip memory, to maximize bandwidth and minimize power consumption of reading in the entire Acoustic Model every frame, which means 50 to 100 times per second, depending on the system design.

The Acoustic Model Memory may be a dedicated memory attached to, or incorporated within, the accelerator. Alternatively the Acoustic Model Memory may be a shared resource that is used by other system functions or applications when speech recognition is not running. To allow detection of situations where the acoustic model has been overwritten by another application, a pre-calculated CRC (cyclic redundancy check) signature may be stored with the acoustic model. Each time the acoustic model is read into the accelerator, a CRC may be computed and compared with the signature. If the comparison fails, an error bit is set in the accelerator status register.

Some embodiments of the invention relate to speech recognition systems comprising separate front end 103 and search stage 106 processors. These separate processors perform the front-end and search stages of the recognition process, with the accelerator 200 performing the distance

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calculations. Typically the front-end processing would be performed on a DSP and search stage would be performed on a CPU, although this description holds for any type of processors, even dedicated hardware implementations. As shown in figure 17, the front end 103 supplies the distance accelerator with feature vectors, and the search stage 106 uses distances calculated by the accelerator.

The accelerator is designed to operate in a concurrent pipelined manner with the other processors, allowing a high level of parallelism in the system.

Figure 18 shows how this pipelined operation works in an embodiment of the invention with ideal data flow, i.e. where each of the three recognition stages require exactly the same time to process each data frame, and the processors are never delayed, stalled, or diverted to other tasks.

The time axis is divided into equal “pipeline step times”. If the step time is the same as a frame time then the system is processing audio in real time. If the step time is short than a frame time, the system is operating faster than real time, which may be valuable for batch processing of audio data, or catching up after some type of delay. If the step time is longer than a frame time, the system is operating slower than real time, which may be acceptable in some applications, for example where the person dictating pauses occasionally allowing the system to “catch up”.

Once the pipeline has filled (which takes two step times), the DSP, the Accelerator, and the CPU are all operating in parallel. In this idealized example, the total time available for processing a frame is three step times – one step time in the DSP, one step time in the accelerator, and one step time in the search stage. There is a latency of three step times from the time the audio data enters the front end to the completion of the search stage for that frame, and the processing of one frame finishes each step time. If the system were not pipelined, then the processing of all stages for one frame would have to complete in one step time in order to achieve the same overall throughput of frames per second. Thus pipelining in this way can achieve three times the throughput with the same processing elements, compared to a non-pipelined system. A non-

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pipelined system would be one in which the processing of frame  $n+1$  would not start until all stages of the processing of frame  $n$  was already complete.

If, for example, in a system running in real time with a frame time and step time of  $1/100^{\text{th}}$  of a second, which is 10ms, each of the three processing elements has the entire 10ms available to complete the processing of one stage of the recognition task, giving 30ms of processing time overall for each frame. If the system were not pipelined, real time operation would require that all three processing elements would be complete in 10ms, allowing only 3.3ms for each of the three processing elements.

At the end of each pipeline step time, the DSP provides a feature vector to the Accelerator, and the accelerator provides a set of distance results to the CPU. When the CPU is performing the search stage for frame  $n$ , the Accelerator is computing the distances for frame  $n+1$ , and the DSP is performing the front-end stage for frame  $n+2$ . During each pipeline step, the front end processing consumes one frame of digital audio data (although this is not indicated explicitly on the diagram).

Real world systems are more complex than the idealized system in many ways. The processing time for a frame is often highly variable and data dependent, especially in the search stage, and the processing time for each processing stage is likely to be quite different. The DSP and CPU are likely from time to time to be diverted to run other software tasks, either to service interrupts, or under control of an operating system scheduling regime. Communications between the processing elements may be stalled due to competing bus traffic, for example for DMA transfers.

Recognition software may implement “frame dropping” and other advanced techniques, and as a result not all frames are processed through all of the recognition stages.

Processing elements cannot respond instantly to the availability of data from the preceding processing stage, resulting in delays.

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Finite buffer space for information storage between stages means that an earlier stage may be stalled waiting for a space to store its output data when following processing stages are “falling behind”.

The accelerator has been carefully designed to mitigate these problems. Figure 19 shows a pipelined system with real world complications added. The following text describes the interactions shown in the diagram. The time for the processing of various stages has been varied to show difference examples of buffering of data between stages and stalling of processing elements. The numbering corresponds to the numbered bubbles on the diagram. The text also makes reference to memories used to pass information into and out of the accelerator, which are shown in figure 17.

The front end has computed the feature vector for the first frame, FV1. It is loaded into the accelerator, causing the accelerator to commence computation of the distances for the frame.

The feature vector for the second frame, FV2, is passed to the accelerator. The accelerator is still busy computing the distances for the first frame, so this feature vector is held in the accelerators FV memory.

The front end has computed the feature vector for the third frame, FV3, but it cannot be delivered to the accelerator as the FV memory is still full, holding FV2. The time period labelled “stall delivering FV3” is the period between FV3 being computed and when it can first be delivered. Of course the DSP could be diverted to some other useful task, or it could buffer FV3 in its own memory and commence computation of FV4.

The arrow labelled “FV3 earliest” shows the earliest time that the feature vector FV3 can be delivered to the accelerator, which is immediately after the accelerator loads FV2 into its internal registers and frees the memory.

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The arrow labelled “FV3 latest” shows the latest time that the feature vector FV3 can be delivered to the accelerator without causing the accelerator to stall for lack of a feature vector to work on. This example shows that there is a wide tolerance in the system to when FV3 can be delivered without affecting system performance – an entire accelerator frame processing time. The accelerator provides an interrupt and a status bit that can be polled to indicate the state of the FV memory. Regardless of which control method the DSP uses, the system tolerates long latency without reducing performance.

The accelerator signals to the search stage that the distances for frame 1 are available in result memory A. The search stage commences processing for frame 1, reading distances from result memory A.

The search stage has finished its processing for frame 1 before the accelerator has completed computing the distances for frame 2, so the search stage stalls waiting for the accelerator. Of course the CPU could be diverted to other useful tasks, including any search stage tasks that can be completed before distances are available. Again, an interrupt and status bits are provided by the accelerator to control this interaction between the accelerator and the CPU. .

The accelerator completes the distance calculation for frame 2, and signals to the CPU that it can commence reading the distances from result memory B.

The accelerator has completed the computation of distances for frame 3 before the search stage has finished processing frame 2. As soon as the search stage signals to the accelerator that it has completed frame 2 by releasing memory B, the accelerator signals that the distances for frame 3 are available, allowing the search stage to immediately move on to processing stage 3.

The accelerator is stalled waiting for feature vector FV4, due to the long processing time in the front end. In real systems this may be caused by a number of factors, including the DSP being diverted to another task for a period of time, or simply due to the DSP performance being insufficient to keep up with the accelerator’s throughput.

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The accelerator restarts as soon as FV4 is delivered by the front end.

The search stage is stalled waiting for distances for frame 4, a follow on consequence of the late delivery of FV4 to the accelerator.

FV5 is delivered to the accelerator while it is still computing the distances for the previous frame, allowing it to move onto processing frame 5 without stalling when it completes frame 4.

The accelerator signals that the distances for frame 4 are available and the search stage commences processing frame 4.

FV6 is delivered to the accelerator while it is still computing the distances for frame 5.

The availability of distances for frame 5 is signalled by the accelerator to the CPU.

Even though the accelerator has already received FV6, it is stalled waiting for a free result memory it can write the distances into.

The search stage releases result memory B at the end of its processing of frame 4. This allows the accelerator to start computing distances for frame 6.

The accelerator completes computing distances for frame 6 and signals to the CPU that the results are ready.

Further embodiments of the invention relate to systems with a Front End and Search Stage on a single processor. This single processor performs the front-end and search stages of the recognition process, with the accelerator performing the distance calculations. This configuration is likely to be the most common configuration where the accelerator is added to an embedded

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system such as a PDA or mobile phone that has a high-performance embedded application processor (but no DSP) available to run speech recognition software.

In this configuration the accelerator still operates in a concurrent pipelined manner with the front-end and search stages; it is just that the front-end and search stages are running on a single processor.

CPUs in embedded systems are generally relatively simple compared to desktop PCs and servers. Embedded CPUs in mobile phones, PDAs, in-car navigation and telematics systems, and other consumer electronics devices are typically “simple uni-processors” by which we mean not multi-processors and not supporting hardware multi-threading support – i.e. they can only execute a single thread of instructions (although they can be diverted to a different thread under the control of interrupts, exceptions, or an operating system). For this discussion, except where explicitly stated otherwise, we are talking about embedded processors that are “simple uni-processors”. We are also using the term “CPU” and “processor” interchangeably.

Figure 20 shows how the system can be pipelined with a single embedded processor working with the accelerator, in an idealized system. In this idealized system, the time taken for the processor to perform the front-end and search stage processing is identical to the time the accelerator takes to perform the distance calculations, and the processor is never delayed, stalled, or diverted to other tasks.

The time axis is divided into equal “pipeline step” times. If the step time is the same as a frame time then the system is processing audio in real time. If the step time is short than a frame time, the system is operating faster than real time, which may be valuable for batch processing of audio data, or catching up after some type of delay. If the step time is longer than a frame time, the system is operating slower than real time, which may be acceptable in some applications, for example where the person dictating pauses occasionally allowing the system to “catch up”.

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The first two pipeline step times are used to fill the pipeline. By the third pipeline step time, the pipeline is full, and all three stages of the recognition process are processed every pipeline step time, with each stage working on the processing of a different data frame.

During the first pipeline step time, the CPU completes the front-end processing for frame 1, and the feature vector passed to the accelerator so that distance calculations can start in the accelerator.

During the second pipeline step time, the front-end processing for frame 2 is completed by the CPU, in parallel with the accelerator computing the distances for frame 1.

During the third pipeline step time, the CPU runs the search stage for frame 1 reading distance results from the accelerator, and then runs the front-end processing for frame 3. The accelerator runs in parallel computing the distances for frame 2 using the feature vectors computed in the previous pipeline step.

Each subsequent pipeline step time is similar to the third pipeline step, with the frame numbers incremented. So for pipeline step  $n = 4, 5, 6$ , etc. the CPU runs the search stage for frame  $n-2$  and then runs the front-end for frame  $n$ . In parallel the accelerator computes the distances for frame  $n-1$ .

Note that with this situation the production of feature vectors and the consumptions of results run in lock step - one feature vector is produced every time the search stage consumes one frame of distance results. This considerably reduces the need for elastic buffering between the distance accelerator and the software system.

Again, real world systems are more complex than the idealized system in many ways. For example, the processing time for a frame is often highly variable and data dependent, especially in the search stage, and the processing time for each processing stage is likely to be quite different. The CPU is likely from time to time to be diverted to run other software tasks, either to

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service interrupts, or under control of an operating system scheduling régime. Communications between the CPU and accelerator may be stalled due to competing bus traffic, for example for DMA transfers.

Recognition software may implement “frame dropping” and other advanced techniques, and as a result not all frames are processed through all of the recognition stages.

Processing elements cannot respond instantly to the availability of data from the preceding processing stage, resulting in delays.

Finite buffer space for information storage between stages means that an earlier stage may be stalled waiting for a space to store its output data when following processing stages are “falling behind”.

The accelerator has been carefully designed to mitigate these problems. Figure 21 shows a pipelined system with real world complications added. The following text describes the interactions shown in the diagram. The time for the processing of various stages has been varied to show difference examples of buffering of data between stages and stalling of processing elements. The numbering corresponds to the numbered bubbles on the diagram. The text also makes reference to memories used to pass information into and out of the accelerator, which are shown in figure 21.

At the end of front-end processing for frame 1, the CPU passes the feature vectors for frame 1 to the accelerator, allowing distance calculations to start.

To fill the pipeline, the CPU immediately performs the front-end processing for frame 2 and passes the feature vectors to the accelerator. They are stored in the accelerator so that the accelerator can load them into its internal engine for processing as soon as the distance calculations for frame 1 are complete.

The CPU is now ready to start the search stage for frame 1, however the distance computation in the accelerator has not completed. The box labeled “Prep search stage 1” indicates a period where the CPU could do any preparatory search stage processing that does not require distances. Alternatively the CPU could be diverted to another task, or it can stall waiting for the distance results.

The accelerator signals that the distance results for frame 1 are now available. The search stage can commence on the CPU, reading distance results from the accelerator’s Result Memory A. The accelerator automatically starts processing the feature vector for frame 2 that was delivered earlier.

The accelerator signals to the CPU that it has completed the distance calculations for frame 2. The CPU is still busy running the search stage for frame 1, and has still to run the front end for frame 3, so the completion signal is ignored until the CPU has need of it, when it starts running the search stage for frame 2. As the accelerator has not received the feature vector for frame 3, it has no task it can perform and so it stalls.

The CPU delivers the feature vector for frame 3, restarting the accelerator, which writes results into Result Memory A. Note that Result Memory A was previously “released” at the end of the processing of search stage 1, informing the accelerator that it can overwrite the old results held in that memory with new results. The CPU then runs the search stage for frame 2, reading distance results from the accelerator’s Result Memory B.

The accelerator signals to the CPU that the distance results for frame 3 are complete in Result Memory A. Again, the CPU ignores this signal until it is ready to commence the search stage for frame 3, and the accelerator stalls waiting for the next feature vector.

The CPU delivers the feature vector for frame 4, restarting the accelerator. It then starts search stage 3 reading distances from the accelerator’s result memory A.

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Search stage 3 and front end 5 were completed quickly, so that the feature vector for frame 5 is delivered to the accelerator while it is still running. The CPU performs all the preparatory work it can for the search stage, and then stalls waiting for distances to be available.

The accelerator signals that the distances for frame 4 are available. The CPU starts search stage 4, reading the distances from the accelerator's result memory B. The accelerator automatically starts computing distances for frame 5 using the feature vector delivered earlier.

Note that with the pipelining scheme just presented which alternates front-end and search stage processing, the accelerator can never stall waiting for a result memory to be released because the feature vector the accelerator needs as an input is not produced until after the memory has been cleared. The CPU task schedule could be described with the shorthand F1 F2 S1 F3 S2 F4 S3 F5 S4.

It can be seen readily from figure 21 and the accompanying description above, that with this CPU task schedule, that the operation of the CPU and accelerator are tightly coupled and whenever the processing time for a pipeline step on the CPU is unequal to the processing time on the accelerator, then it quickly results in one of them stalling.

In a system where either the CPU or the accelerator is always (or at least in most instances) slower than the other in completing its processing task, stalling is inevitable and throughput may not be improved by adding additional buffering (e.g. additional result memories or FIFO depth on the feature vector interface). [Unless there are other difficulties to mitigate such as very low-bandwidth buses linking the CPU to the accelerator, or competing bus traffic such as DMA transfers that can significantly reduce performance.

If the processing time for a pipeline step is highly variable on either the CPU or Accelerator, such that there are regular changes in which one of them takes the longer time, then significant enhancements in throughput may be obtained by adding additional buffering between them. This may have the disadvantage of adding additional latency through the system. This buffering may

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be implemented by adding additional depth to the Feature Vector FIFO, and/or adding additional Result Memories. Alternatively it may be by implementing elastic buffers in software.

If the accelerator has sufficient buffering on the feature vector interface, e.g. by including the optional FIFO shown in figure 21, then increasing the pipeline depth by computing extra front end frames up front will improve throughput at a cost of extra latency. This will result in a CPU task schedule of F1 F2 F3 S1 F4 S2 F5 S3 F6 S4 or F1 F2 F3 F4 S1 F5 S2 F6 S3 F7 S4, etc.

Of course it would also be possible to dynamically schedule whether the CPU should run the front-end or search stage code based on the availability, or not, of distance results and/or the space available to store more feature vectors and distance results. Given the fundamental relationship that one set of distance results is produced by the accelerator for every feature vector it consumes, and the restriction stated at the start of this section that we are discussing single-threaded CPUs, dynamic scheduling is likely to add little performance improvement while being complex to implement.

On a CPU supporting multi-threaded operation (which is a technique for improving performance in the presence of high memory system latency), or on a multi-processor, the highest system performance is likely to be achieved by running the front-end and search stages concurrently as separate threads, rather than alternating between the front-end and search stages. The system operation is then very similar to that described above, if each thread is thought of as a separate virtual processor. In some embodiments of the invention, elastic buffers may be used between stages, to accommodate varying time delays between the processing of frames at each stage. Elastic buffers in the interfaces between the three recognition stages may also significantly enhance performance of such a system.

Operation of the accelerator and the software system is not constrained to a rigid repetitive frame time. Instead the timing of the system is controlled dynamically by the availability of feature vectors into the accelerator, and the consumption of results out of the accelerator.

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This allows the recognition process to fall behind real-time operation and to "catch up" again. It also allows the system to be robust in complex systems where interrupts, DMA bus traffic, memory caches, operating system task switching, and competing real-time software tasks all make guaranteeing rigid timing constraints impractical.

Elastic buffers at the major data transfer points between processing elements maximize system performance by allowing one element to continue useful processing whenever it can, regardless of whether other processing elements have been stalled or diverted to other tasks. Elastic buffers are useful for the following applications:

(1) For buffering raw audio data arriving in real time from the microphone(s) The data would typically be moved into the buffer by a DMA and/or high priority interrupt driven software process to ensure that hard real time constraints are met.

(2) For buffering feature vectors output from the front end. This is especially true if the front-end is implemented on a DSP or other processing element independent of the search stage.

(3) For buffering distance results from the accelerator. Again this is especially true if the front-end and search stages are implemented on independent processing elements. This buffering is also especially valuable if the interface between the search stage processor and the accelerator is very slow, has high latency, or is subject to competing bus traffic.

The Feature Vector and Results interfaces on the accelerator already provide a level of elasticity that should be sufficient in systems where the Front End and Search stages are running on the same CPU, and the accelerator has a high-bandwidth interface to the CPU with low level of competition from other bus traffic such as DMA.

Other embodiments may have deeper FIFOs. In one embodiment, the two result memories are an implementation of a FIFO where the implementation is exposed across the interface. It would be possible to have additional memories and use them in a round-robin fashion, or to use another

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implementation of a FIFO that hides the FIFO depth by only exposing one result memory at a time to the interface. An example of this would be to map each memory in turn to a memory range that is always used to read results, so that at any one time the “current” result memory is mapped to that location. This would hide the FIFO depth behind the interface so that the pipeline depth can be changed without changing the software (or hardware) that accesses the interface.

Slow or Conflicted Bus Interfaces may occur. In the system configurations described above, the search stage reads distances directly from the Accelerator’s Result Memories. The result memories allow the search stage to randomly access the distance results, as they are needed. This will only give a high performance system if the interface or bus between the CPU and Accelerator provides the CPU with low latency, high bandwidth access to the Accelerator Result Memories.

In some systems it is not practical to provide such a low latency, high bandwidth interface between the CPU and the Accelerator. This may be for many reasons, including:

- The interface is a bus shared with other devices and/or processors that generate bus traffic that keeps the bus busy such that the CPU access to the accelerator is delayed waiting for the bus to be free. DMA transfers are one example of conflicting bus traffic.
- The interface is implemented as a serial bus, or narrow parallel bus, for cost or compatibility reasons, yielding low bandwidth and high latency
- The interface crosses an industry standard interface such as PCI, USB, SDIO, Cardbus, Firewire, PCIExpress etc. that introduces protocol overheads and/or latency as would be the case where the accelerator is in a plug-in peripheral to a system containing a CPU (or CPU and DSP).

In these situations it is possible to add another pipeline stage during which the result data is copied from the Accelerator into another memory (which we will call a “buffer memory”) to which the CPU does have high bandwidth, low latency access. This copying can be performed by a DMA controller, or by software running as an interrupt handler, or a separate software thread on the CPU, or a software thread on another processor, or by other commonly known

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means. The device controlling the transfer may be on the CPU side of the interface or on the accelerator side of the interface, depending on the capabilities of the interface. This extra pipeline stage then allows an entire pipeline step time to copy the data from the accelerator to the other memory. The data copy can optionally be performed as a sequential burst, or a number of sequential bursts, to optimize transfers across the interface between the Accelerator and the buffer memory. The search stage, running on the CPU, can then randomly access the results in the buffer memory with low latency.

Similarly an extra pipeline stage can be added for transferring the Feature Vectors to the Accelerator, although given that the feature vectors are a much smaller object than the distance results, and that they are not accessed randomly across the interface but delivered once to the Accelerator for each frame, there are fewer situations where the performance benefit from this extra pipeline stage is as significant.

Figures 22 and 23 show idealized systems with the two extra pipeline stages for transfers added. The first shows a system with a CPU, DSP, and Accelerator with the two extra pipeline stages. The second shows a system with a CPU and DSP with the two pipeline stages added.

Other embodiments may add additional pipeline stages so that the distance computations are performed over two or more pipeline stages rather than being restricted to a single pipeline stage. This allows more time for the computation of the distance results for each frame, while maintaining the same throughput of distance results. This is similar in concept to the well-known pipelining techniques used to implement RISC microprocessors.

The Acoustic Models may occupy many megabytes of storage space. In embedded systems they will typically be held in a non-volatile memory such as FLASH memory, or other types of non-volatile memory as is the appropriate currently economic technology. The Accelerator may read the acoustic model directly from the non-volatile memory, or more likely the acoustic model will be copied from the non-volatile memory into a higher bandwidth RAM memory of some type (e.g. SRAM or DRAM, SDRAM, etc.). The RAM memory may be part of the same integrated

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circuit as the Accelerator (i.e. “on chip”), or attached to the integrated circuit containing the Accelerator. (“off chip”). The having the RAM memory on-chip is particularly advantageous, as this configuration would give the lowest power consumption and highest bandwidth. An alternative solution would be for the acoustic model to be stored on a disk drive, or on another device accessible via a wired or wireless bus or network, and for the acoustic model to be loaded into the RAM memory from the disk drive, or over the wired or wireless bus or network.

On-chip RAM memory is however likely to come at a cost-premium to off-chip commodity memory devices. Many embedded systems face extreme cost pressures in the market place, especially high volume devices supplied by many manufacturers such as mobile phones. For a speech recognizer to be incorporated into such systems, the overall recognizer solution must be delivered at very low cost. There is therefore a significant economic benefit from reducing the cost of the RAM memory and the non-volatile memory. One way to reduce the cost of these memories is to compress the acoustic models and store the compressed model in the memory.

The Accelerator computes all of the distances associated with each Feature Vector that is delivered to it by the front end. This means that the accelerator must use the data from the entire Acoustic Model each time a new Feature Vector is presented to the Accelerator (with the exception of some specific optimizations that may determine that some data values need not be used in the distance computations). It is therefore possible to arrange for the accelerator to read through the acoustic data sequentially once for each Feature Vector, using each data value as it read from the Acoustic Model.

Reading through the entire Acoustic Model sequentially is ideally suited to placing a decompressor between the distance calculation engine and the RAM memory, because many compression schemes depend on the decompressor reading sequentially through the compressed data, and do not readily support random access into the compressed data.

Thus this configuration allows storing compressed data in the RAM memory (and the non-volatile memory), which can therefore be smaller and lower cost. There is no requirement for a

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memory that is large enough to hold the entire decompressed acoustic model, as the decompressed data is consumed as it is decompressed.

The decompression scheme could be any combination of:

- sign or zero extension or otherwise conversion of narrow or variable width data to a wider data format.
- sign or zero extension or otherwise conversion of narrow or variable width data to IEEE standard single or double precision floating point format
- codebook decompression of a binary bitstream, where the codebook is stored as part of the acoustic model data
- decompression of a Huffman or Lempel-Ziv compressed stream
- decompression of run length encoded data
- decompression of difference encoded data
- any well known compression scheme.

Additionally the model size can be reduced by using *subspace distribution clustering* and the decompressor and distance calculation engine designed to operate with such models.

The following description provides further information on the visible registers in some embodiments of the invention.

The register bank is designed to allow simple connection with an 8-bit data bus. Accesses to the register bank should be made with byte-read and byte-write accesses. To facilitate this, only the least significant 8 bits of the data bus are used.

The address decoder should respond to byte accesses to byte 0 or byte 3 within the designated word. This way the same code can be used on an ARM processor regardless of whether the processor is configured for little endian or big endian operation.

REGBASE=Base address of register bank

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**Register 0 Product Version**

8-bit Product version ID

This register value is changed when the functionality of the hardware changes in a way that changes the hardware/software interface.

Address = REGBASE (and REGBASE+3 for big endian)

Read only. Reads with value 0x01

Writes ignored

**Register 1 Implementation Version**

8-bit Implementation version ID

This register value is changed for each implementation to facilitate bug tracking and version control.

Address = REGBASE+4 (and REGBASE+4+3 for big endian)

Read only. Reads with value 0x01

Writes ignored

**Register 2 Interrupt Enable**

8-bit Interrupt Enable register

Address = REGBASE+4\*2 (and REGBASE+4\*2+3 for big endian)

Readable and writeable.

Value following reset is 0 for bits 0,1,2,3

Bit 0 I 1 = Enable FV memory empty interrupt on Int0 output.

Bit 1 J 1 = Enable Results complete interrupt on Int0 output.

Bit 2 K 1 = Enable FV memory empty interrupt on Int1 output.

Bit 3 L 1 = Enable Results complete interrupt on Int1 output.

Bit 4 Future use. Read value is not defined. Writes ignored.

Bit 5 Future use. Read value is not defined. Writes ignored.

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Bit 6 Future use. Read value is not defined. Writes ignored.

Bit 7 Future use. Read value is not defined. Writes ignored.

Software should use a read-modify-write code sequence when setting this register so that future use bits are written with the value read from them.

### **Register 3 Status**

Address = REGBASE+4\*3 (and REGBASE+4\*3+3 for big endian)

Read-only register. Writes are ignored.

Value following reset is 0 for bits 0,1,2,3

Bit 0 FVMB Feature Vector Memory is Busy

0 = OK to write new value to FV memory (FV memory is empty)

1 = Don't write new value to FV memory (FV memory is busy)

Bit 1 CRM Current Result Memory

0 = Result memory A

1 = Result memory B

This bit toggles every time the Release Result Memory (RRM) command is issued to the accelerator (register 3). It indicates which memory software should read results from, and which result memory the RRM command should release next time it is issued. Note: Software should also check that results are available in the indicated result memory by checking the value of the MA and MB bits.

Bit 2 MA 1=Results are available in result memory A

The MA bit is set to 1 when the compute engine completes writing all of the distances for a frame into result memory A. This value is set to zero when the Release Result Memory command is issued and CRM==0.

Bit 3 MB 1= Results are available in result memory B

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The MB bit is set to 1 when the compute engine completes writing all of the distances for a frame into result memory B. This value is set to zero when the Release Result Memory command is issued and CRM==1.

Bit 4 Dfault 1=Accoustic data CRC fault. Indicates that the CRC value at the end of the acoustic data did not match the CRC value computed while the acoustic data was read in.

Bit 5 Future use. Value undefined.

Bit 6 Future use. Value undefined.

Bit 7 Future use. Value undefined.

#### **Register 4 Command**

Address = REGBASE+4\*4 (and REGBASE+4\*4+3 for big endian)

Write-only register.

Software should perform byte writes to this register with a single bit set to 1 and all other bits set to zero to issue a command to the accelerator.

Behaviour is not defined if more than one command is issued within a single write (i.e. if more than 1 bit is a 1).

Value on read is not defined.

Bit 0 LFV Load Feature Vector from the FV memory.

Tells the accelerator that a new feature vector has been placed into FV memory ready for use by the accelerator. The FV will be loaded into the compute engine when the compute engine completes its current task (or immediately if the compute engine is idle). Computation of distances for this FV will commence when the FV is loaded AND there is a released result memory. (At reset, both result memories are released). The results for the first, third, fifth etc. feature vectors loaded are written to Result Memory A. The results for the second, fourth, sixth etc. feature vectors loaded are written to Result Memory B.

Bit 1 RRM Release Result memory. Indicates that the results in the current result memory can now be overwritten with new results. The current result memory is indicated by the CRM bit in the status register.

Bit 2 CFVI Clear the FV memory empty interrupt

Bit 3 CRI Clear the Results Complete interrupt

Bit 4 Future use – write 0

Bit 5 Future use – write 0

Bit 6 Future use – write 0

Bit 7 Future use – write 0

The present invention may be included in a mobile phone, or in another consumer electronics device, a PC, Laptop or tablet PC, in-car electronics system, or plug-in card for an electronic device.

The methods and apparatus according to the invention are not limited to embedded mobile systems, but may be used with any type of computing device, including PCs, workstations, laptop computers, notebook computers, handheld computing devices, dictation machines, PDAs (personal digital assistants), personal organisers, mobile phones, games consoles, video players, etc. Embedded computers according to the present invention may be embedded in a wide range of apparatus and machinery, such as electronic entertainment products, domestic appliances, factory machinery, vehicles, etc.

Embodiments of the present invention may be implemented as an IP core in a System on Chip (SOC) or a discrete device. Multiple chips or bare die may be connected to provide a larger vocabulary system.

Although the apparatus may include all or some of an input for accepting audio input, a circuit for digitising the audio input, a circuit for dividing the audio input into a plurality of time-frames, and a circuit for analysing the spectral components of each time frame to characterise the audio in that frame, this is not essential. The apparatus may also include a circuit for calculating a score

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indicating the probability or likelihood that each audio frame corresponds to each of a plurality of different possible states, but again, this is not essential. Instead, the apparatus may include an input for receiving the pre-calculated scores.

In the described embodiments, n-gram language models are used. For example, the Bigram language model is based on outputting the probability that a given second word directly follows a given first word. However, it is possible to use alternative language models instead. It is possible to use a mixture of different models. For example, it is possible to run a word-dependent n-best decode applying a bigram language model, and the resulting word link record or word graph could then be rescored using a trigram language model.

The Viterbi beam search algorithm may be used in embodiments of the invention, to perform the search. A word level search may be performed. Dummy states may be used for the start and end of an utterance

The grammar level model may be used to add distance elements into the likelihood calculation. This is not essential, but tends to give much better results.

The HMM models described in the embodiments comprise self connections to each states and single connections to a neighbouring state. However, the present invention is not limited to such HMM models, and for example, HMM models with additional connections between states may also be used. Alternatively, embodiments of the invention may use alternative types of acoustic models, rather than HMM models.

The system may comprise a plurality of language models (e.g. English, French). A model of words may comprise actual words, phrases, silence, lipsmack sounds, and/or other sounds for recognition by the apparatus.

As previously discussed, the phone level has been found to be the best level for lexical tree searching, rather than the state level or the word level. However, this invention is not limited solely to phone level searching.

Pipelining may comprises processing data in different parts of a circuit at the same time, i.e. parallel processing.

In the following claims, the calculation means may comprise the distance calculation engine described above.

Further embodiments of the invention include the methods carried out in the accelerator, and the methods carried out in the speech recognition circuit.

While the invention has been described in terms of what are at present its preferred embodiments, it will be apparent to those skilled in the art that various changes can be made to the preferred embodiments without departing from the scope of the invention, which is defined by the claims.

**WHAT IS CLAIMED IS:**

1. An acoustic coprocessor, comprising:

an interface for receiving at least one feature vector;

a calculating apparatus for calculating distances indicating the similarity between said at least one feature vector and at least one acoustic state of an acoustic model read from an acoustic model memory; and

an interface for sending at least one distance calculated by the calculating apparatus;

wherein said calculating apparatus and said acoustic model memory are fabricated on a single integrated circuit.

2. The acoustic coprocessor of claim 1, wherein said acoustic model contains Gaussian parameters and the distances are probabilities.

3. The acoustic coprocessor of claim 2, wherein said acoustic model memory is a FLASH memory.

4. The acoustic coprocessor of claim 3, wherein said interface for sending distances is a serial bus.

5. The acoustic coprocessor of claim 4, wherein the distances sent over the serial bus are Mahalanobis Distances.

6. The acoustic coprocessor of claim 4, wherein the acoustic coprocessor in response to receiving a feature vector autonomously calculates said distance for every acoustic state of said acoustic model.

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7. The acoustic coprocessor of claim 6, further comprising one or more result memories and wherein said distance for every acoustic state of said acoustic model are stored in said one or more result memories.

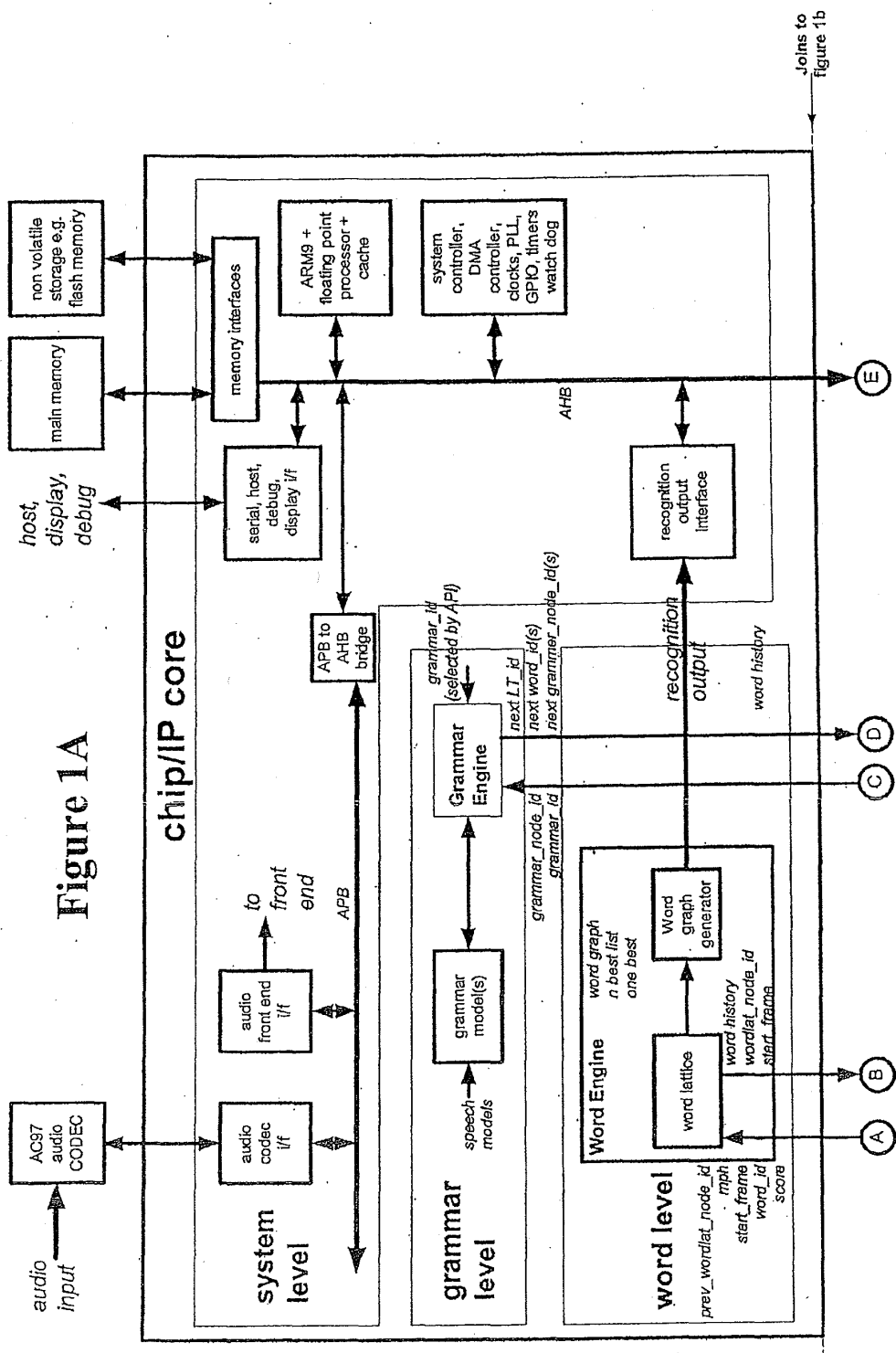
8. The acoustic coprocessor of claim 7, wherein said one or more result memories are configured so that distances calculated from a first feature vector may be sent over the interface for sending while at least one distance calculated from a second feature vector is being stored in the said one or more result memories.

9. A speech recognition system comprising the acoustic coprocessor of claim 8 and further comprising at least one CPU, wherein said CPU executes software which performs or initiates a speech recognition word search using one or more distances calculated by said acoustic coprocessor in response to receiving a first feature vector, and wherein the time period taken for said speech recognition word search overlaps the time period taken for said acoustic coprocessor to calculate one or more distances in response to receiving a second feature vector.

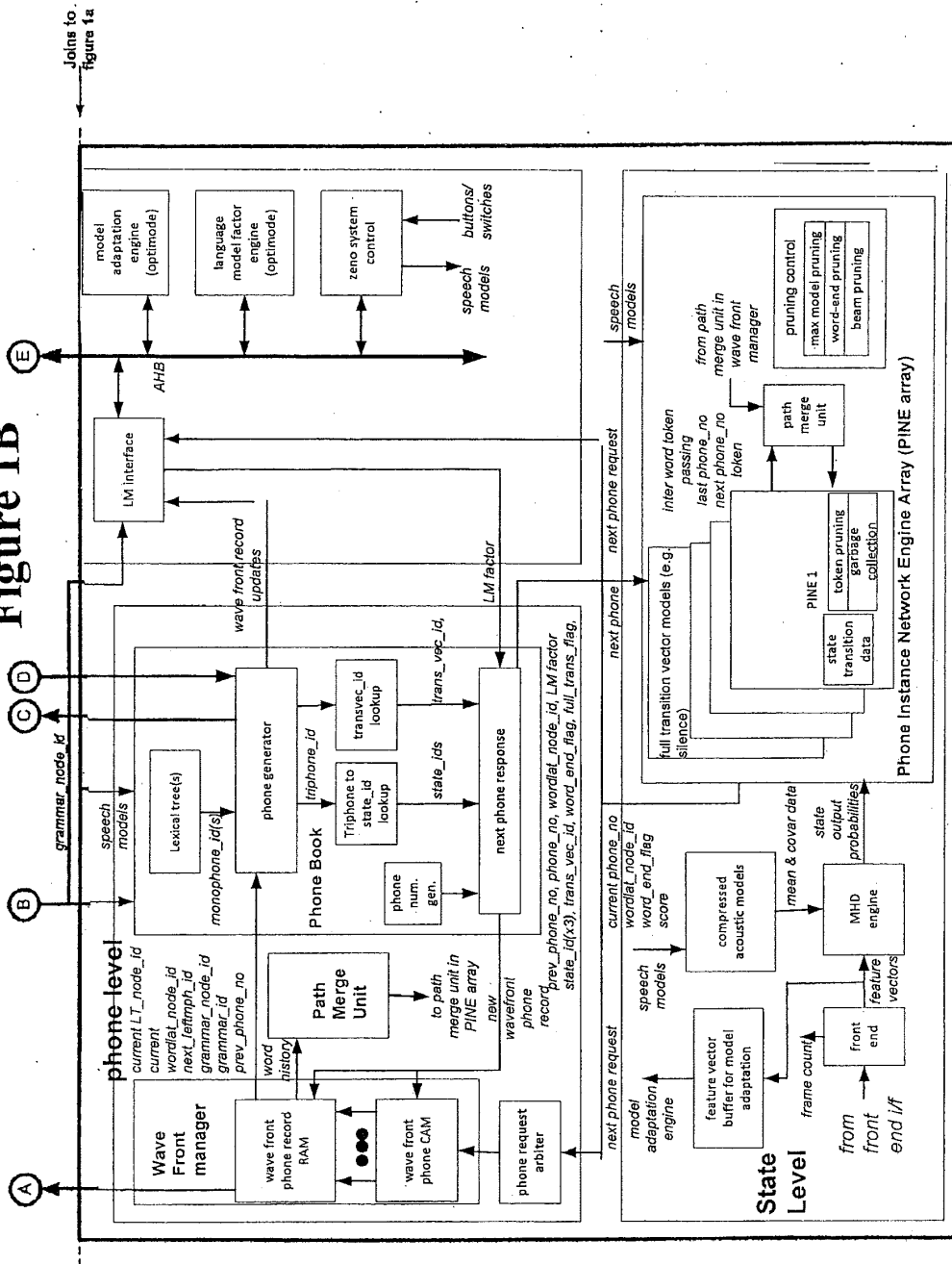
**ABSTRACT**

A speech recognition circuit comprising a circuit for providing state identifiers which identify states corresponding to nodes or groups of adjacent nodes in a lexical tree, and for providing scores corresponding to the state identifiers, the lexical tree comprising a model of words. The circuit includes: a memory structure for receiving and storing state identifiers identified by a node identifier identifying a node or group of adjacent nodes, the memory structure being adapted to allow lookup to identify particular state identifiers, reading of the scores corresponding to the state identifiers, and writing back of the scores to the memory structure after modification of the scores; an accumulator for receiving score updates corresponding to particular state identifiers from a score update generating circuit which generates the score updates using audio input, for receiving scores from the memory structure, and for modifying said scores by adding said score updates to said scores; and a selector circuit for selecting at least one node or group of adjacent nodes of the lexical tree according to said scores.

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## Figure 1B



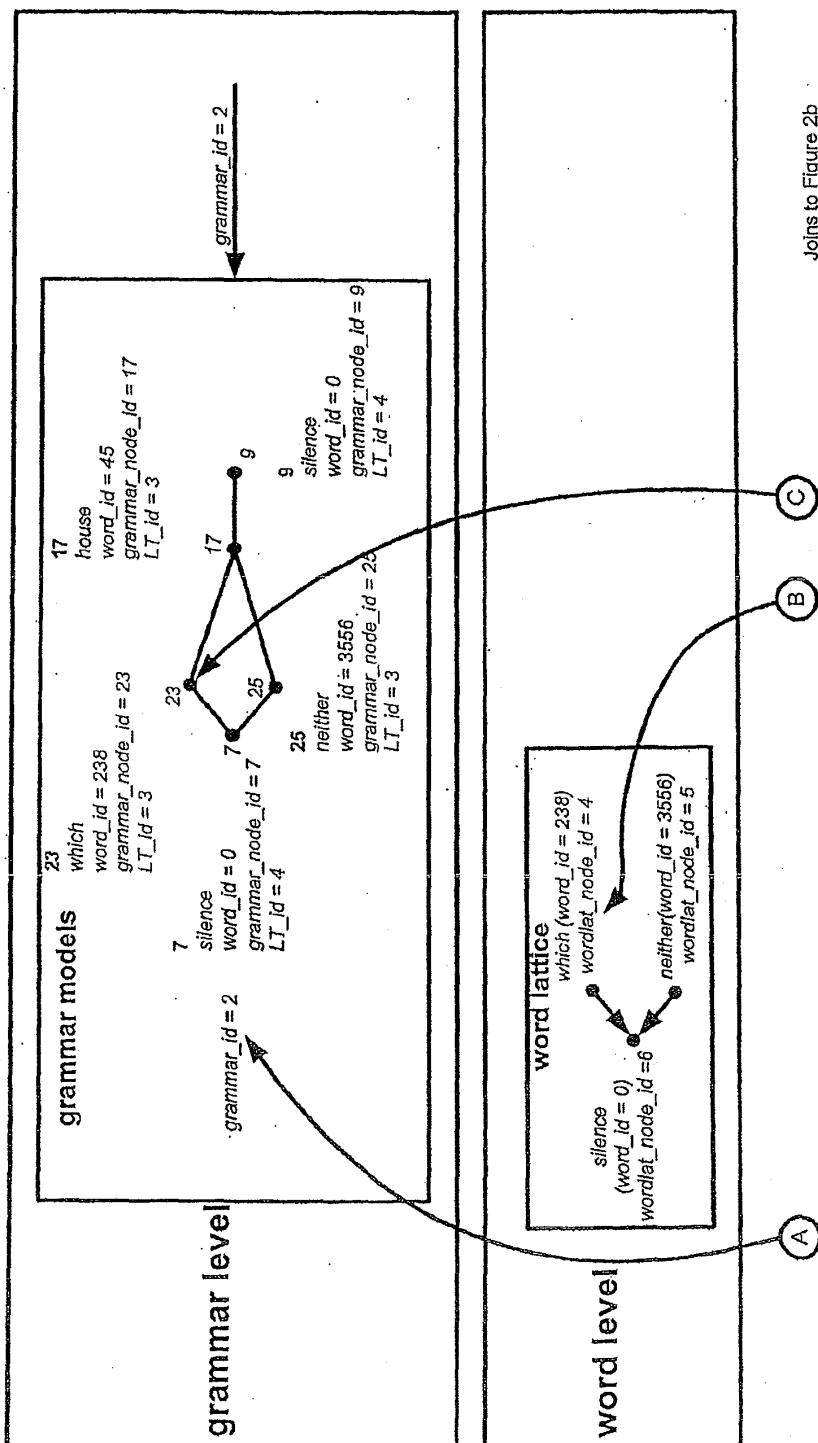


Figure 2A

Figure 2B

Join to Figure 2a

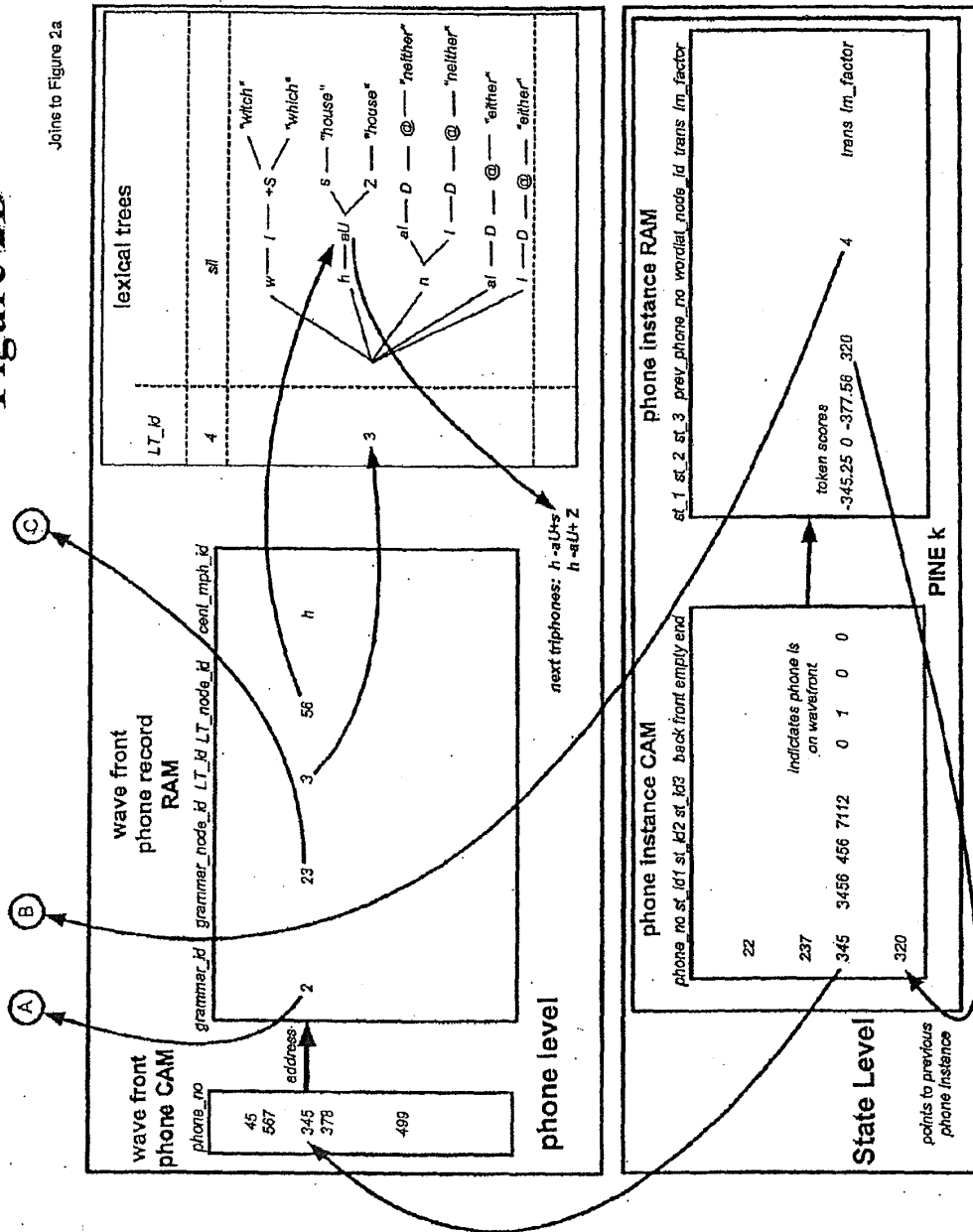


Figure 3A

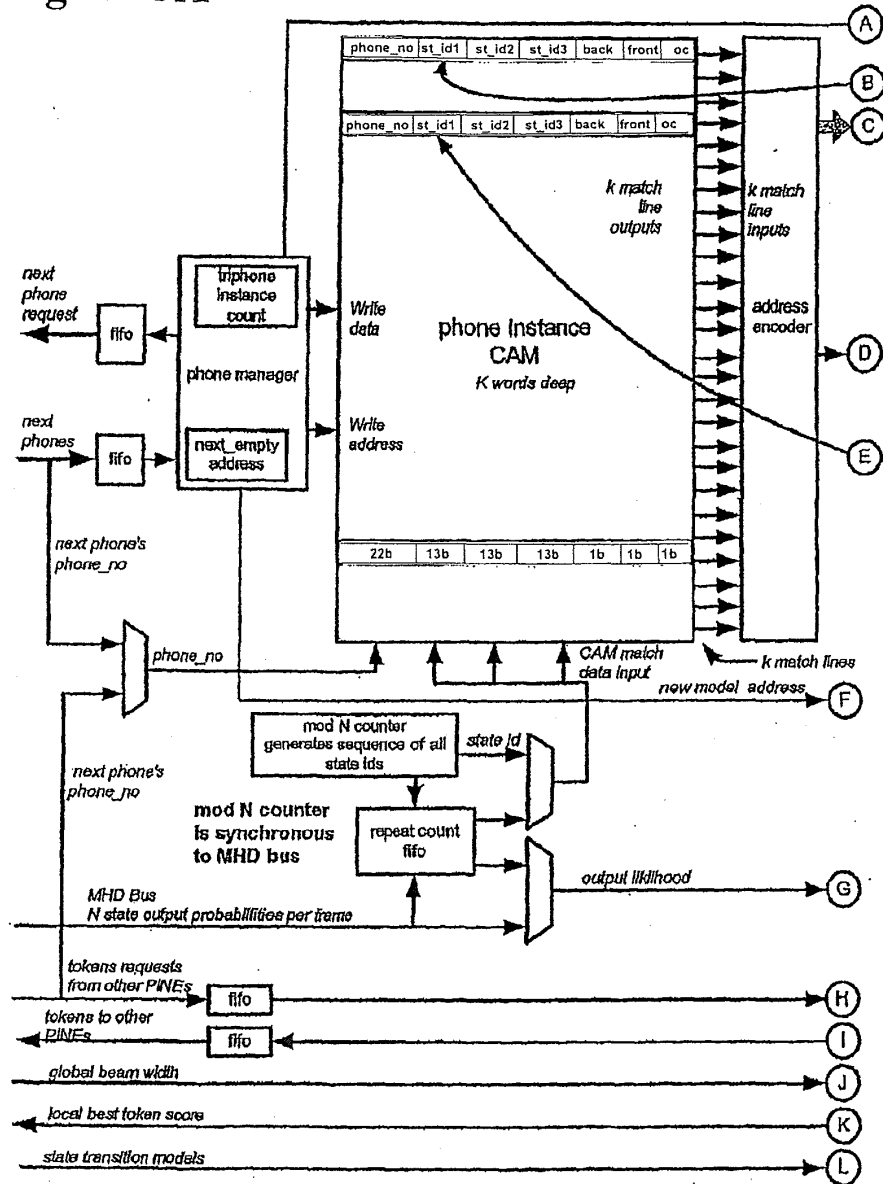
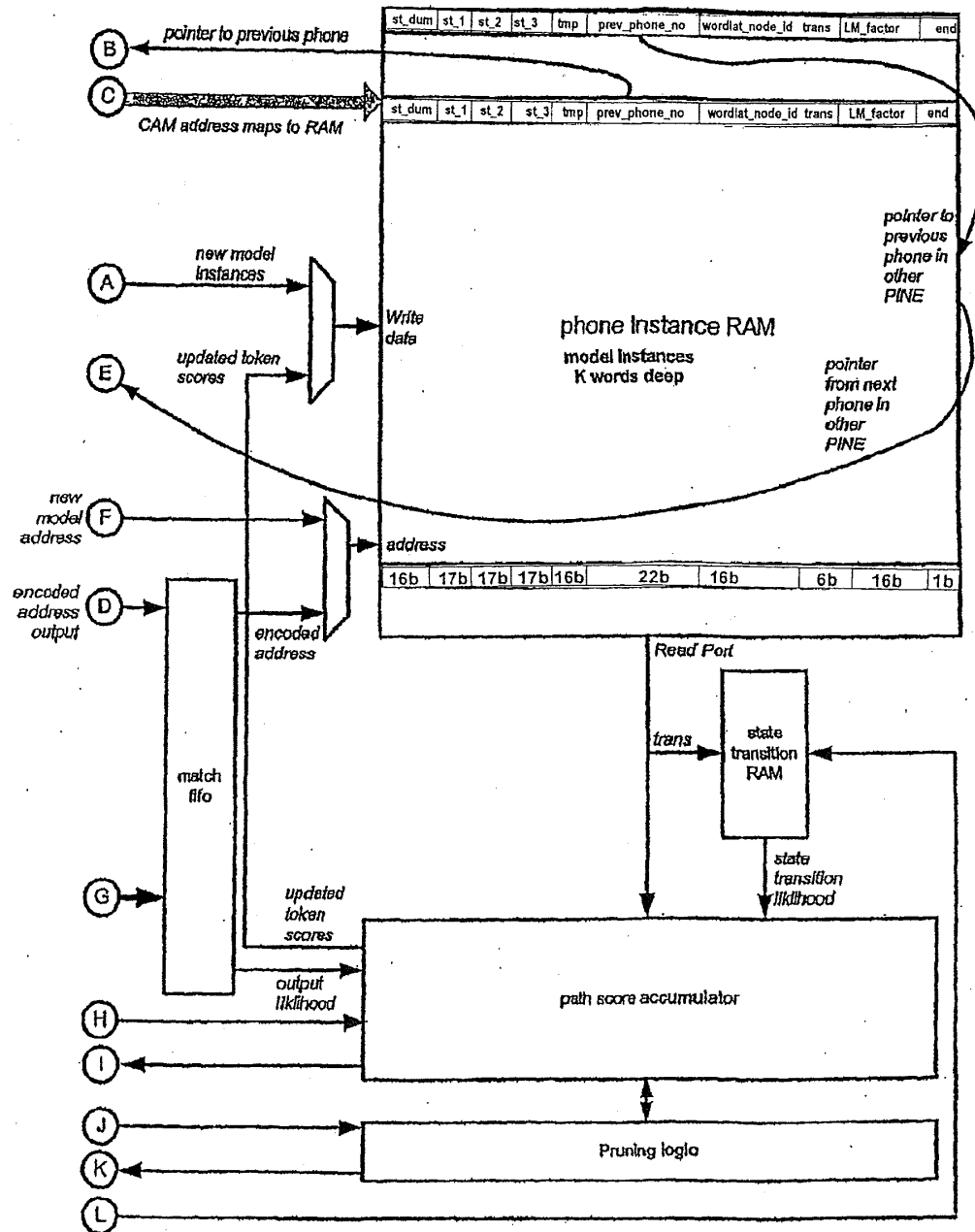


Figure 3B



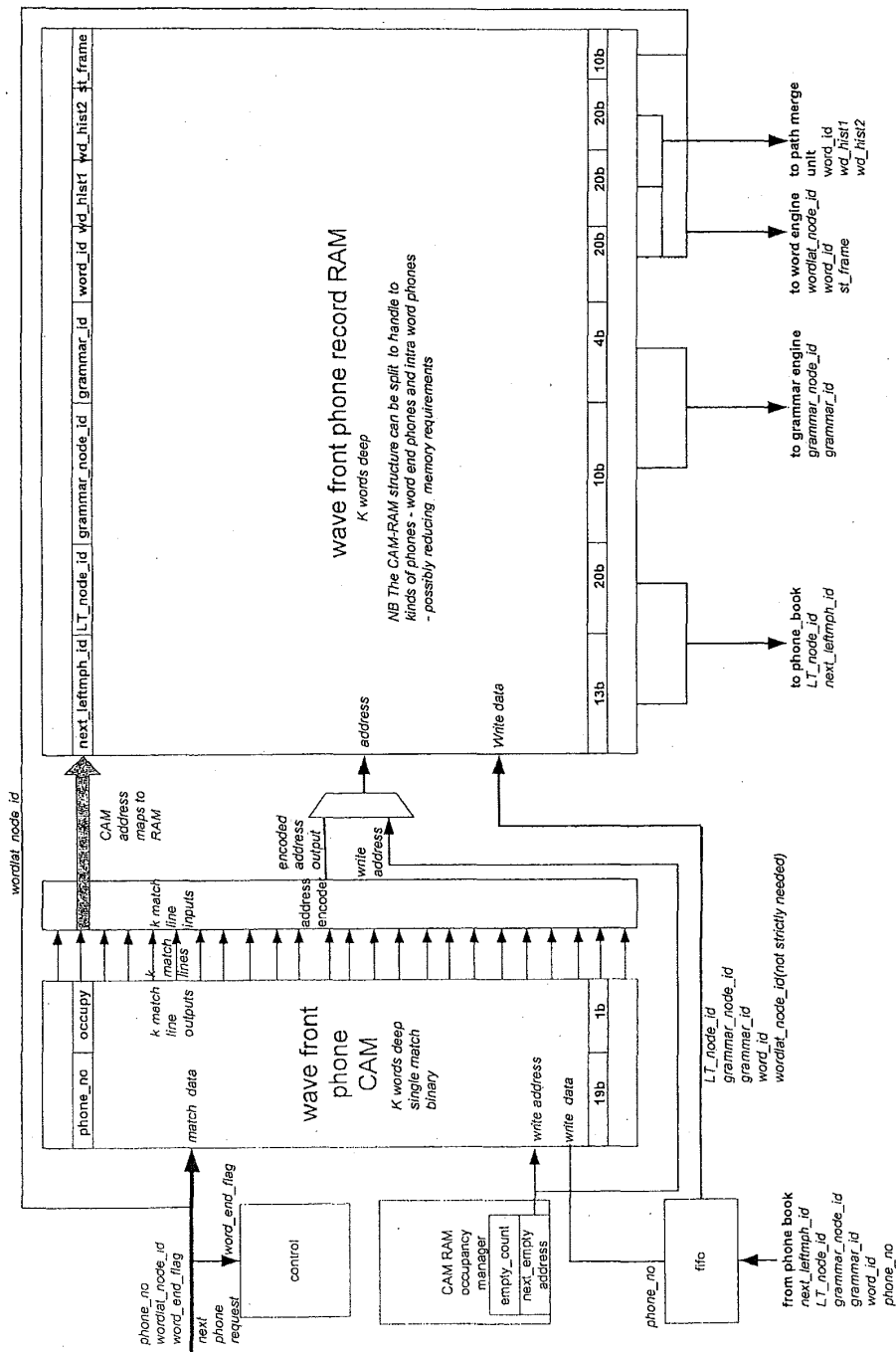
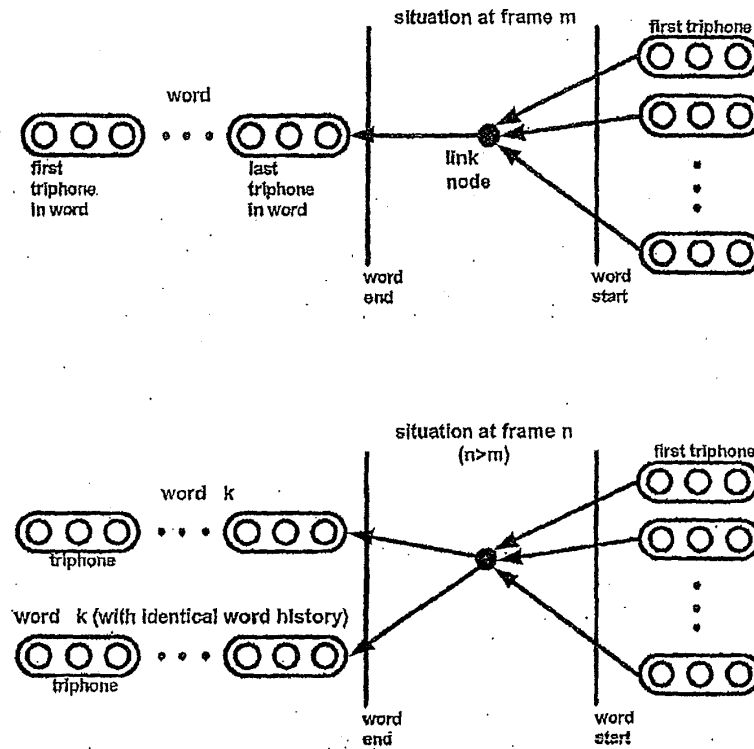


Figure 4

Figure 5



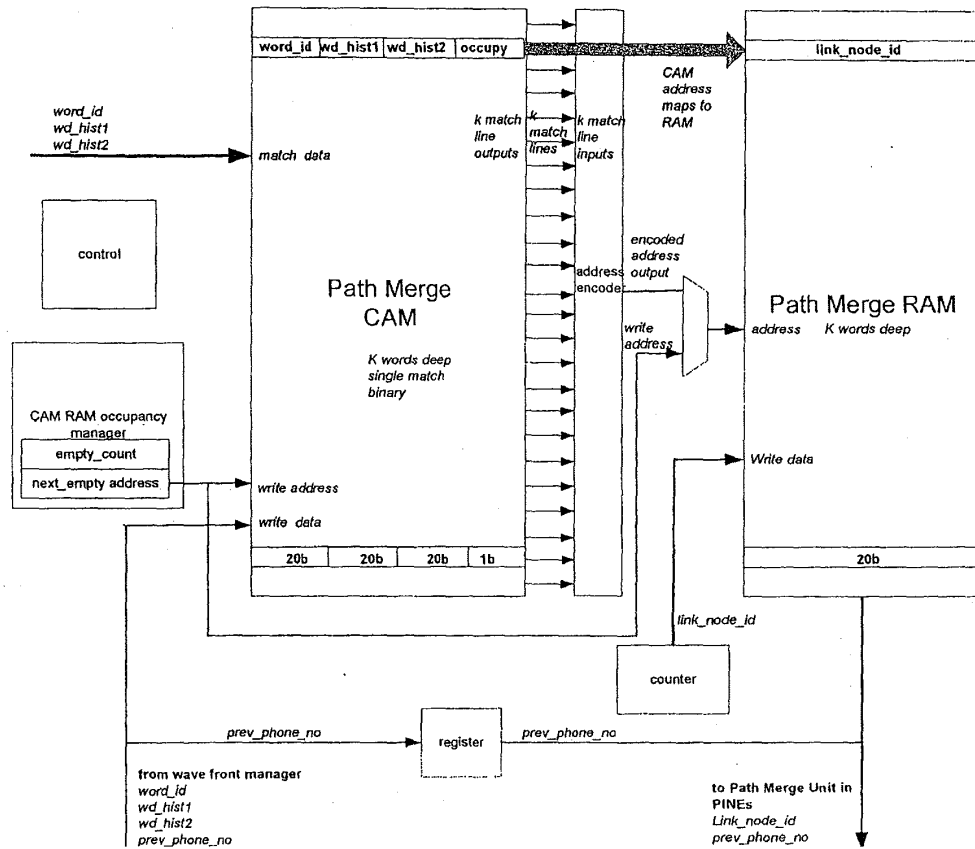


Figure 6

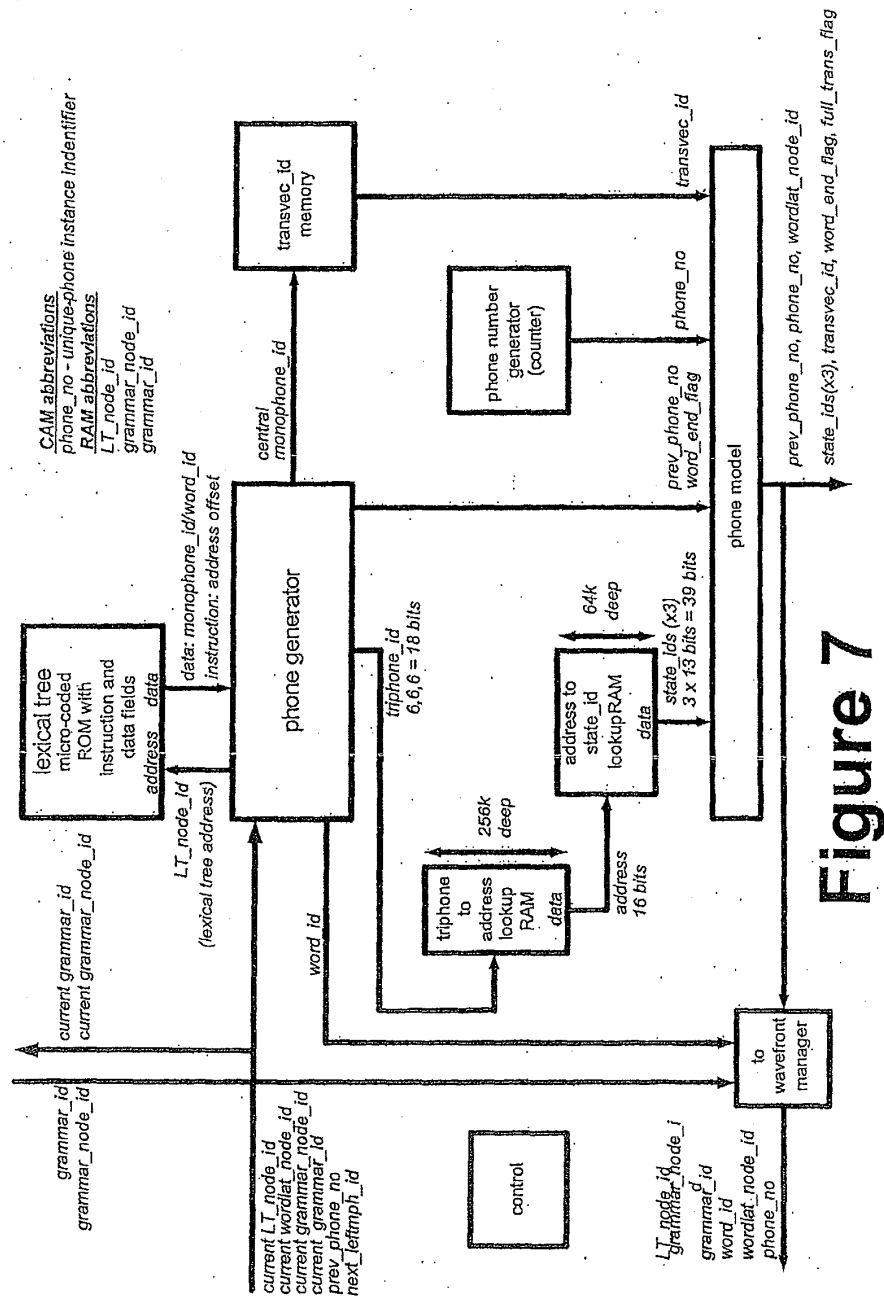
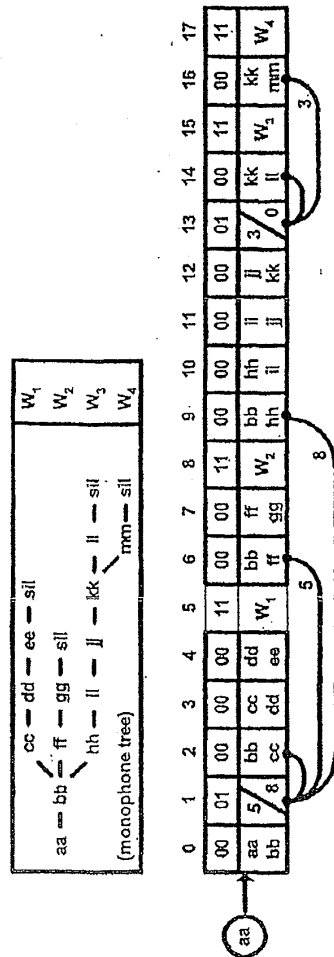
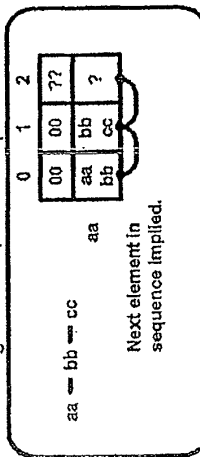


**Figure 7**

Figure 8A



"00" - Single branch, ie. mono-phone to mono-phone.



"01" - two branches.

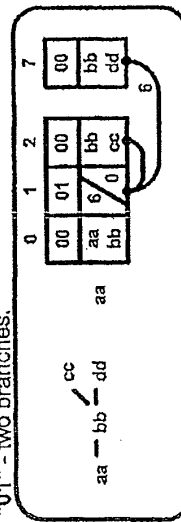


Figure 8B

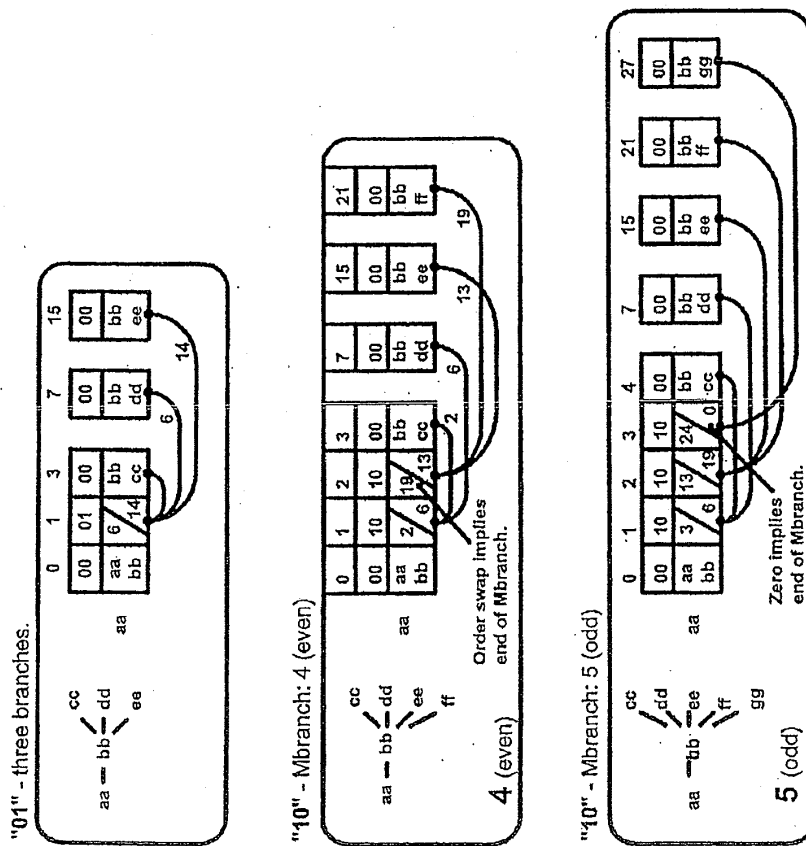


Figure 9

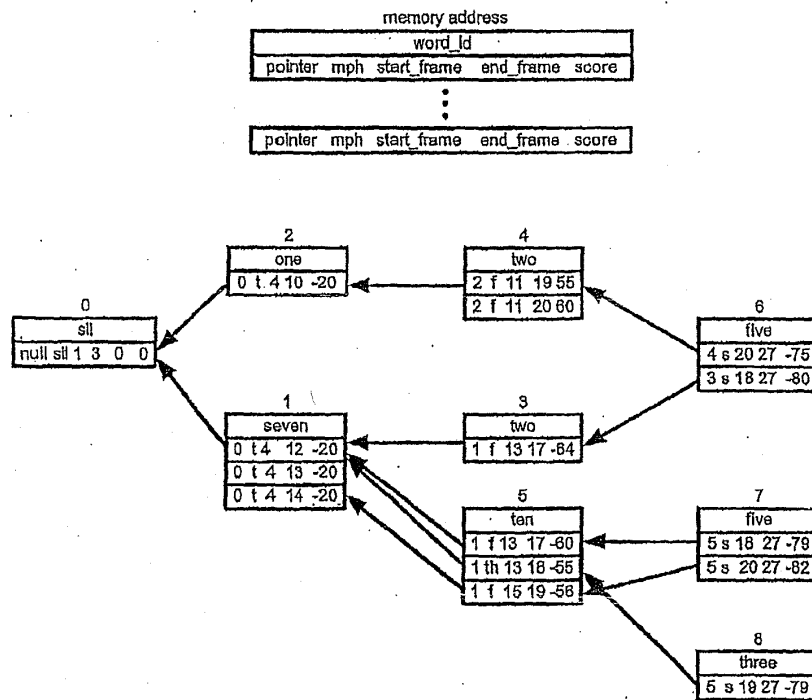
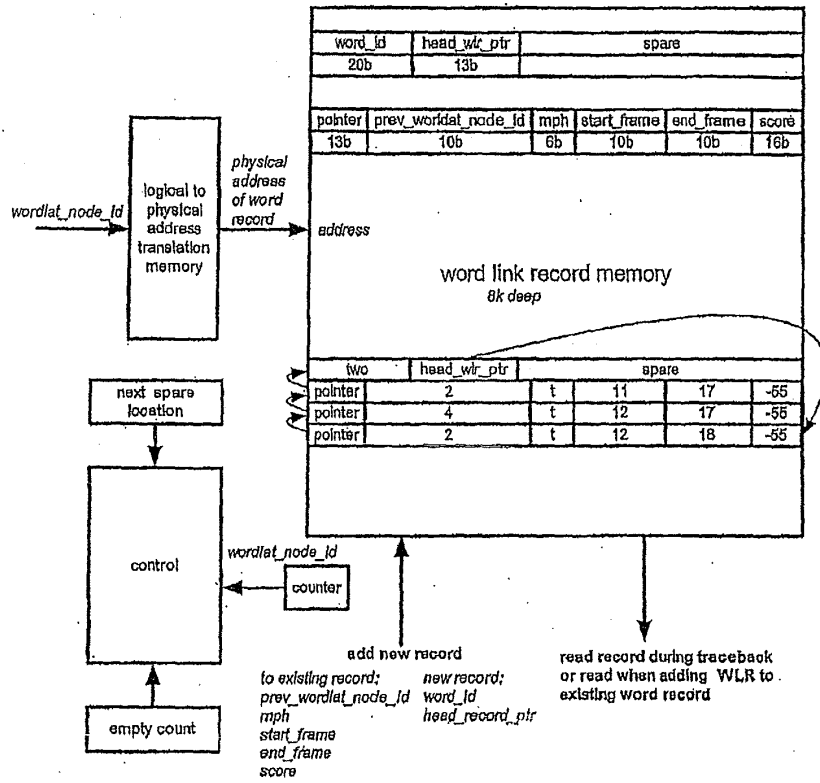


Figure 10



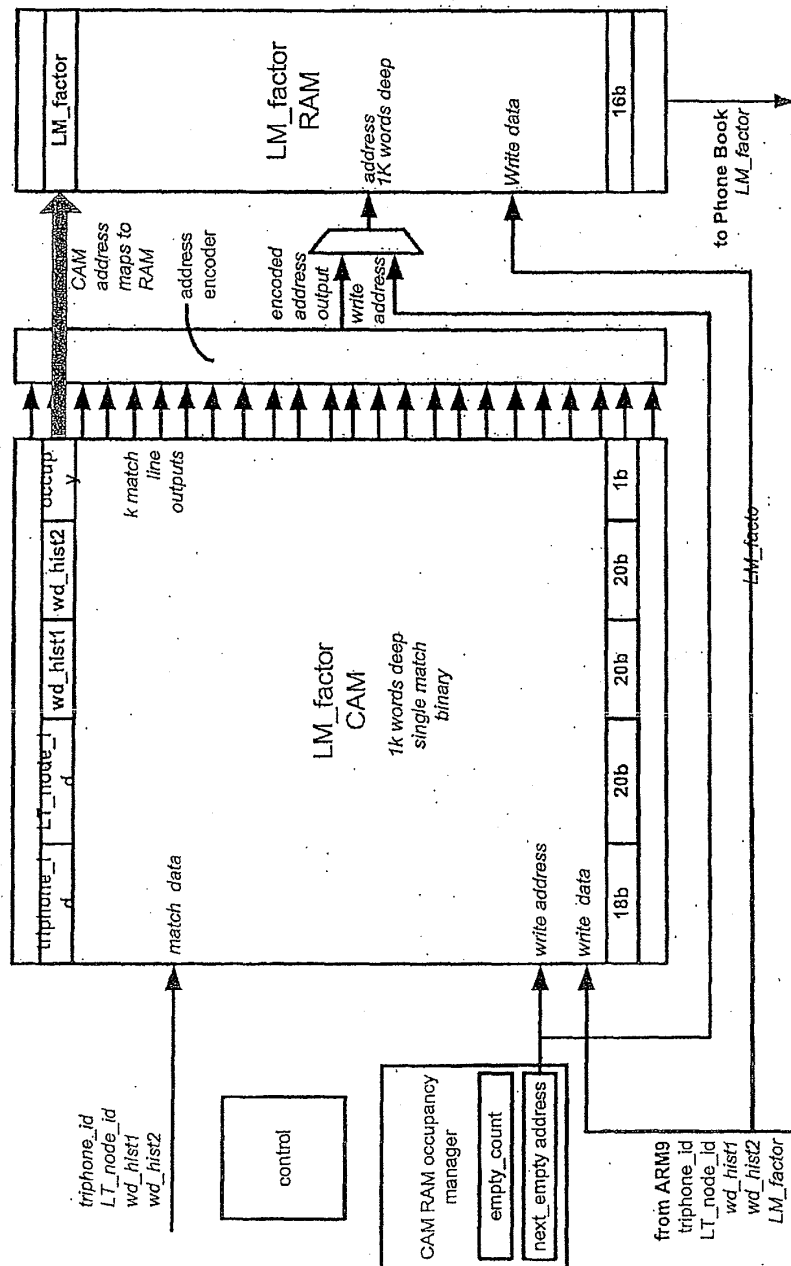


Figure 11

Figure 12

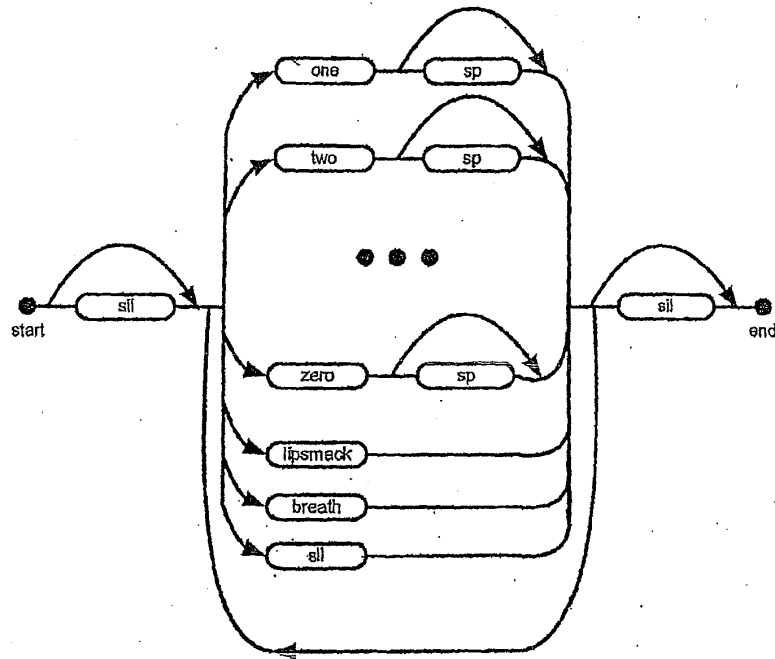
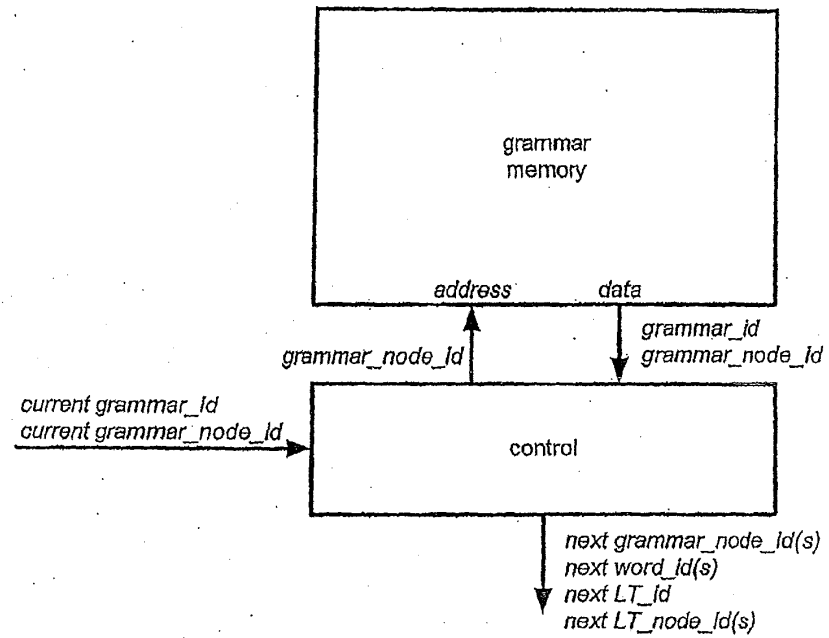


Figure 13



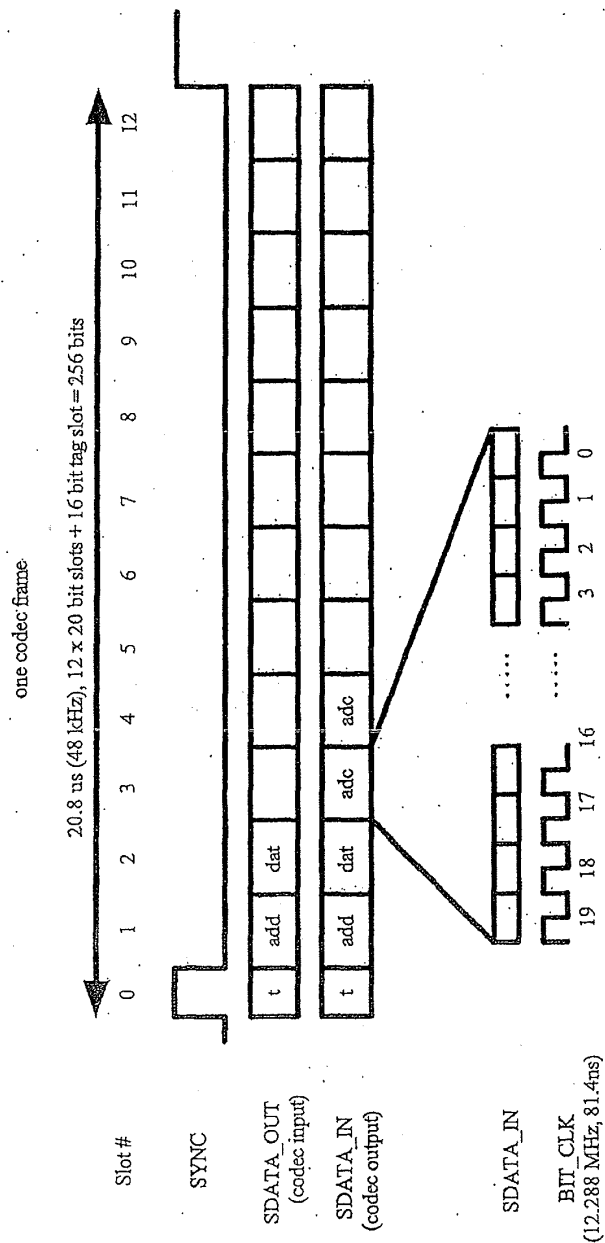
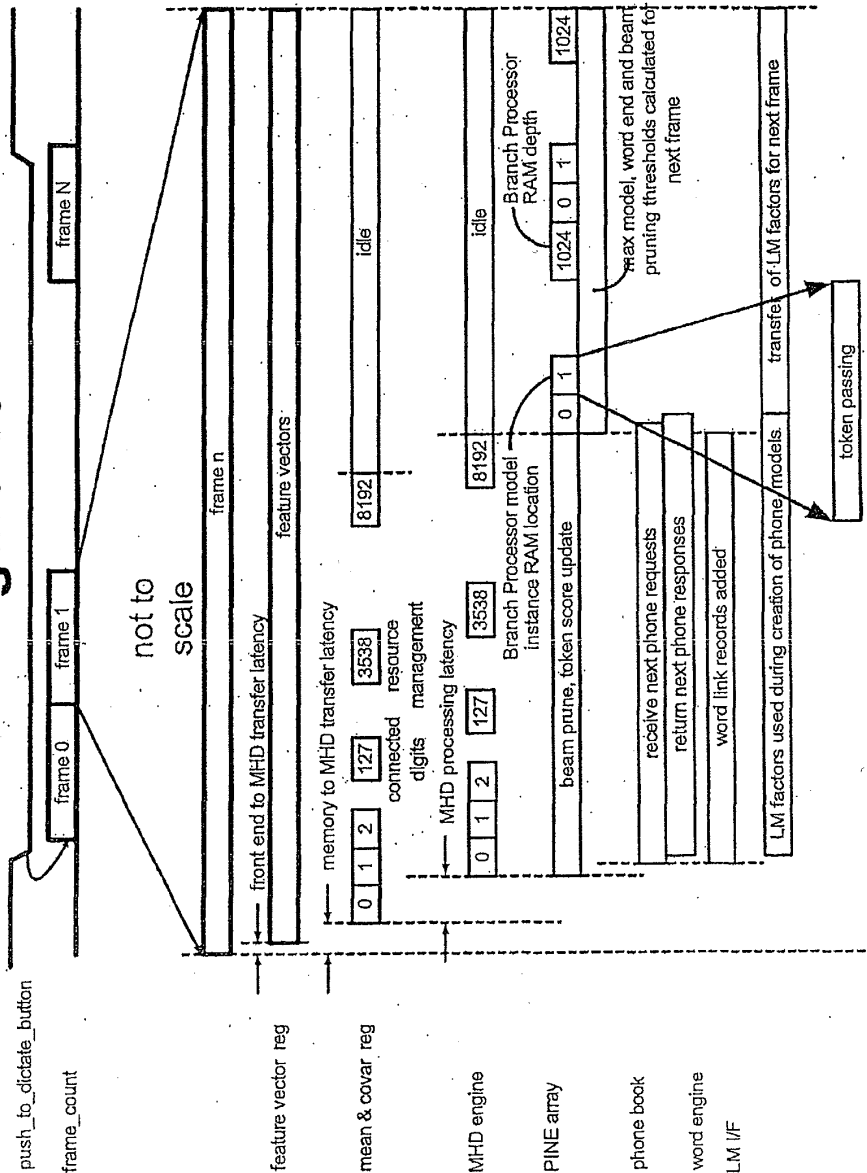


Figure 14

# Figure 15



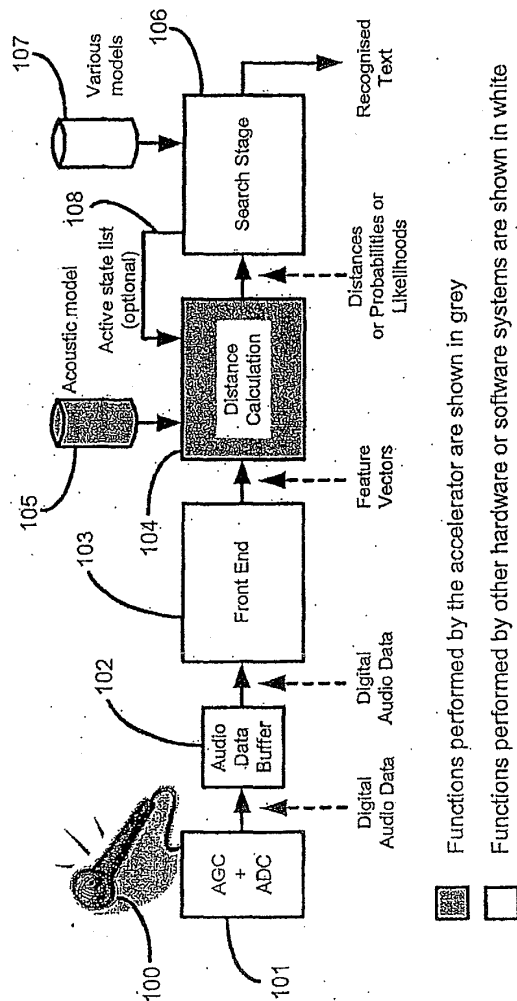
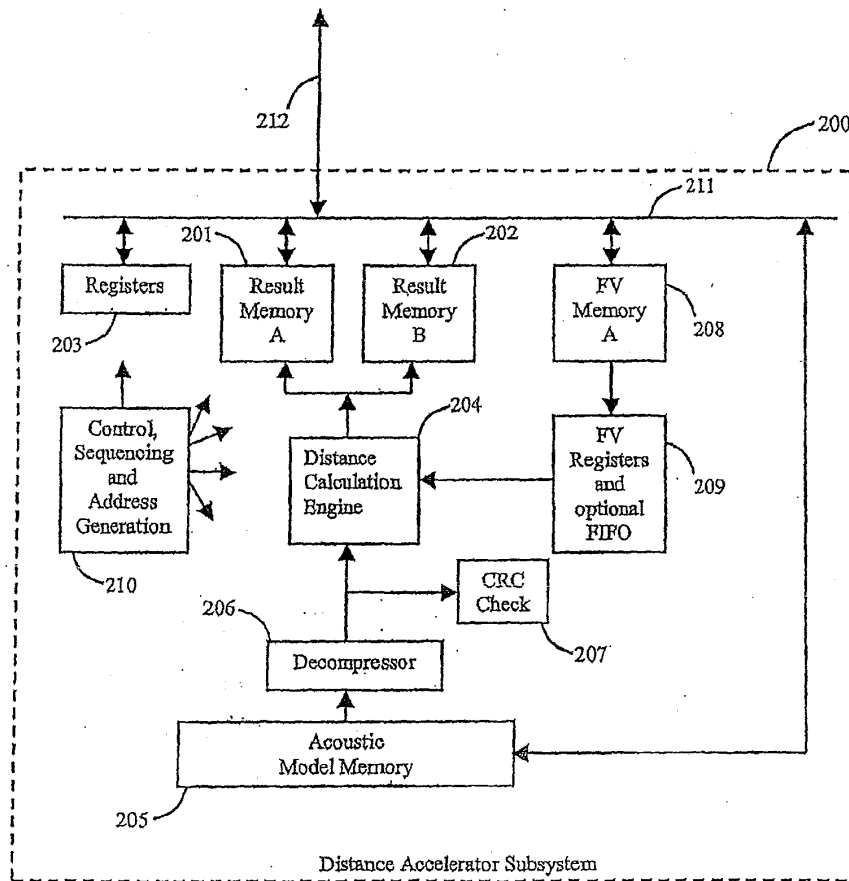


Figure 16

FIGURE 17



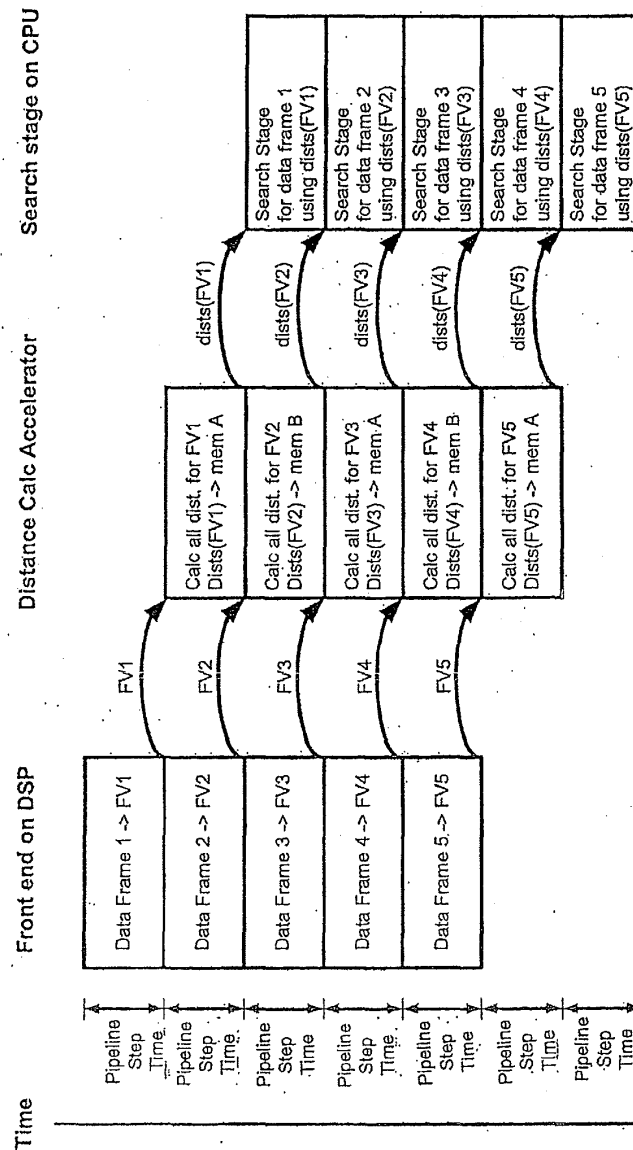


Figure 18

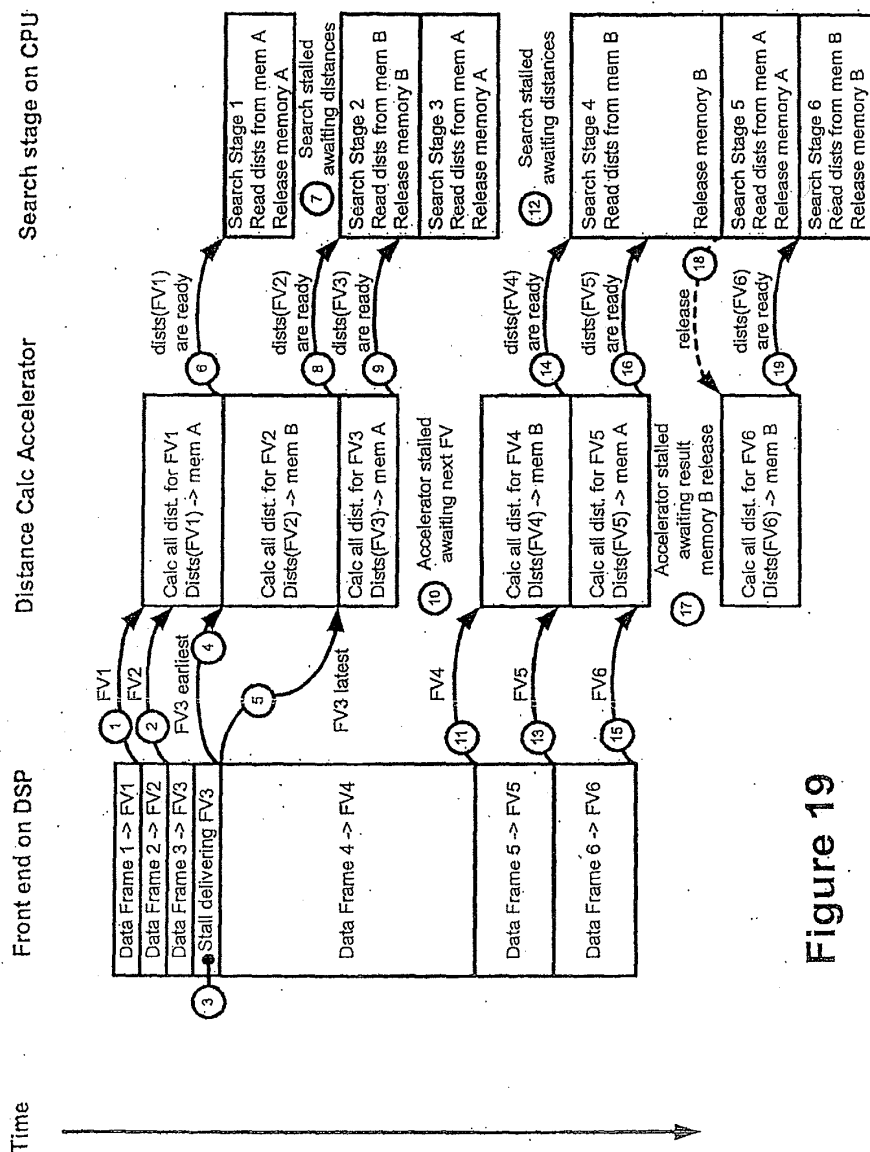


Figure 19

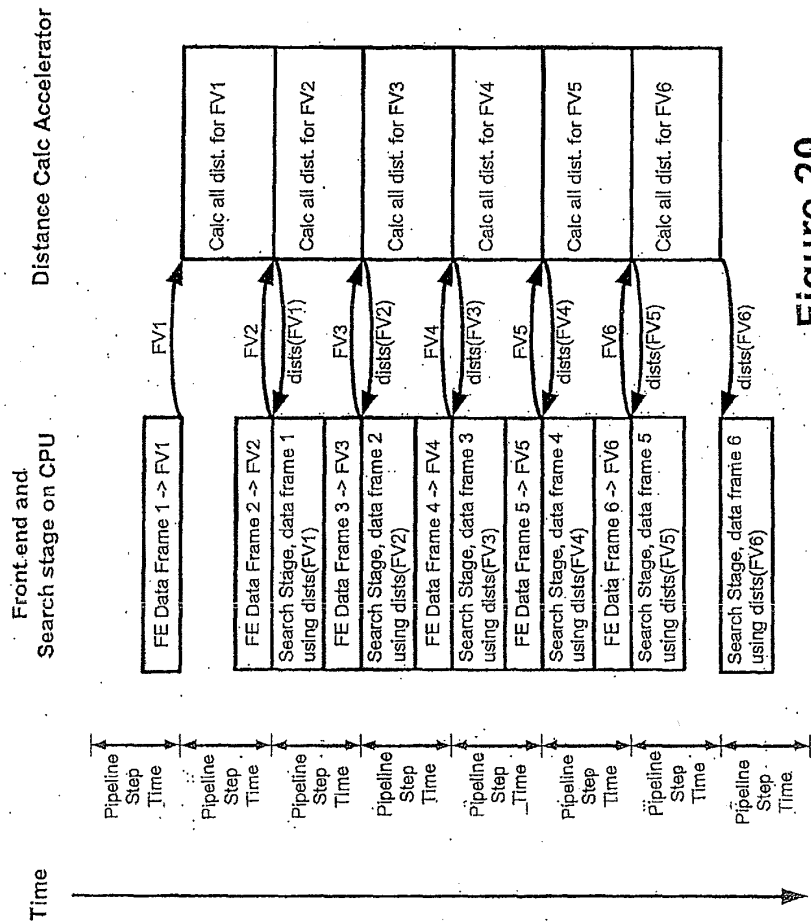
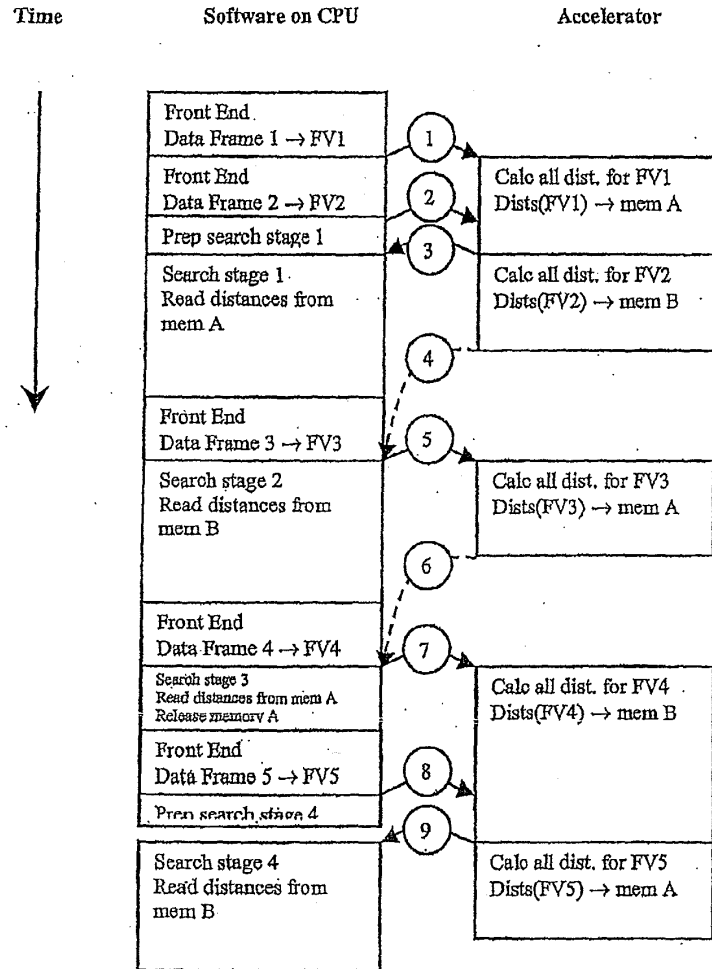


Figure 20

# FIGURE 21



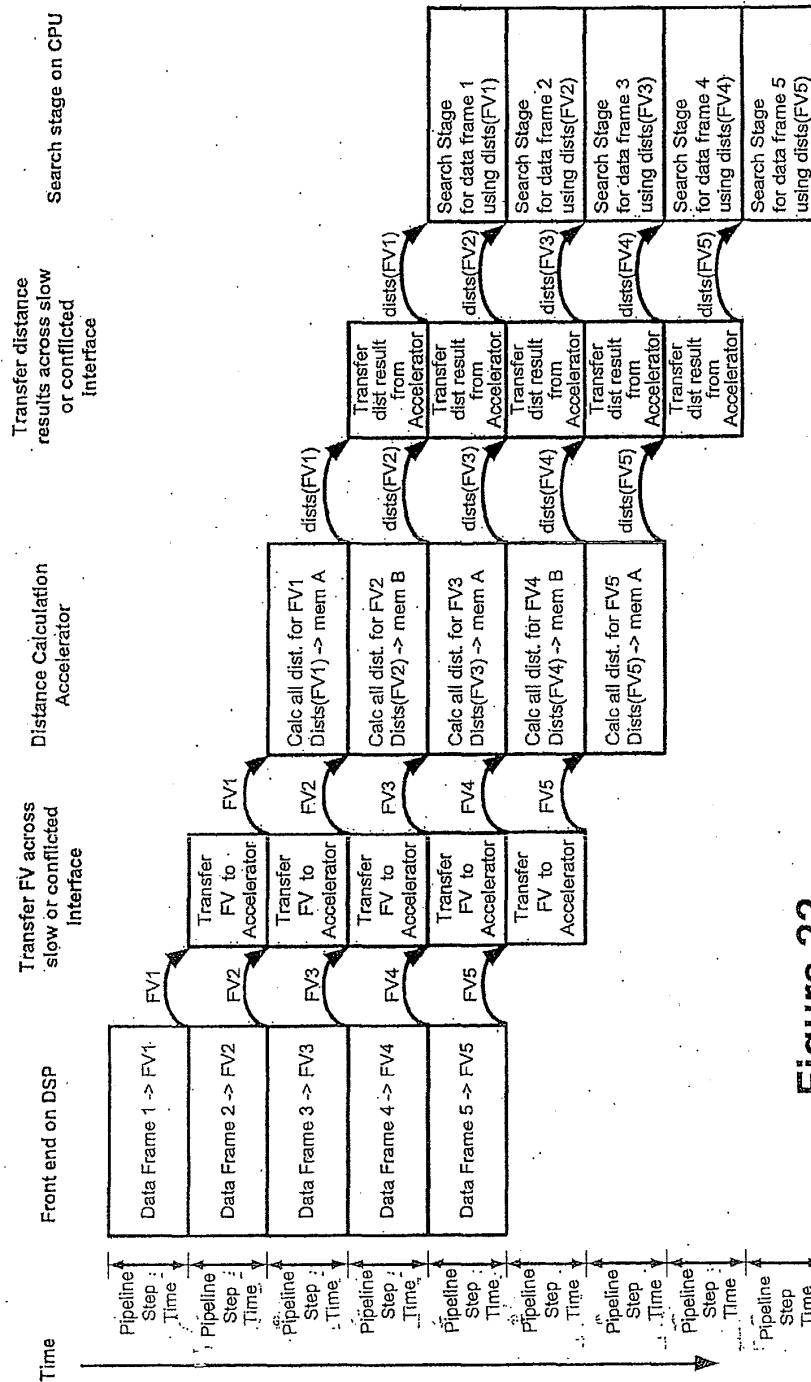


Figure 22

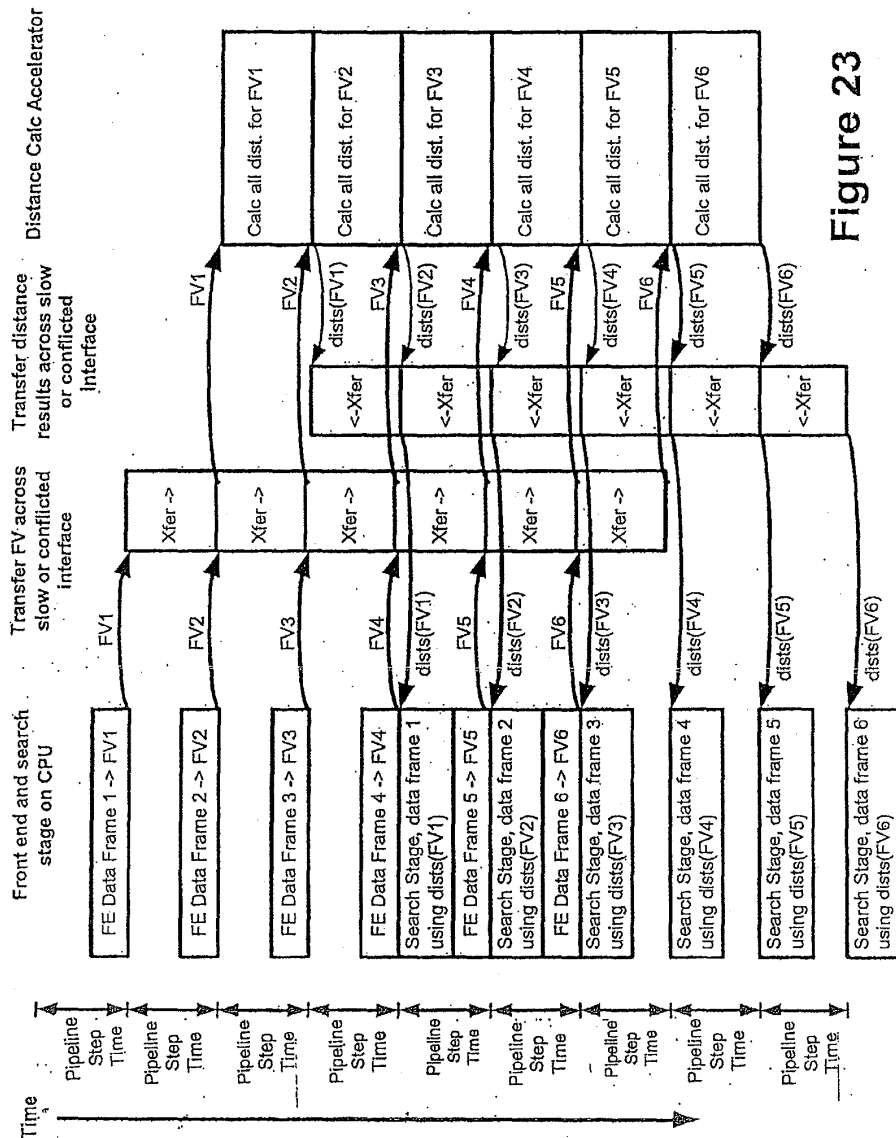


Figure 23

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of  
Invention**

A SPEECH RECOGNITION CIRCUIT AND METHOD

As the below named inventor, I declare that:

This declaration ☒ The attached application, or  
is directed to:

☐ 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 have reviewed and understand the contents of the above-identified application, including the claims.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

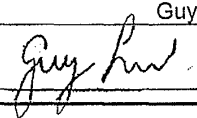
All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both, and may jeopardize the validity of the application or any patent issuing thereon.

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**LEGAL NAME OF INVENTOR**

Inventor: \_\_\_\_\_ Guy Larri \_\_\_\_\_ Date (Optional): \_\_\_\_\_

\*\*Signature:  \_\_\_\_\_

\*\* An electronic S-signature is permitted. The S-signature must consist only of letters, or Arabic numerals, or both, with appropriate spaces and commas, periods, apostrophes, or hyphens for punctuation, and the person signing the correspondence must insert his or her own S-signature with a first single forward slash mark before and a second single forward slash mark after the S-signature (e.g., /Dr. James T. Jones, Jr./).

DSMDB-3348559 v1

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This declaration  
is directed to:



The attached application, or



United States application or PCT international application number \_\_\_\_\_  
filed on \_\_\_\_\_

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All statements made herein of my/our own knowledge are true, all statements made herein 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 are punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both, and may jeopardize the validity of the application or any patent issuing thereon.

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**LEGAL NAME OF INVENTOR**

Inventor:

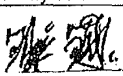
Mark Catchpole

Date (Optional):

\*\*Signature:



\*\* An electronic S-signature is permitted. The S-signature must consist only of letters, or Arabic numerals, or both, with appropriate spaces and commas, periods, apostrophes, or hyphens for punctuation, and the person signing the correspondence must insert his or her own S-signature with a first single forward slash mark before and a second single forward slash mark after the S-signature (e.g., /Dr. James T. Jones, Jr./).

| DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| Title of Invention                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | A SPEECH RECOGNITION CIRCUIT AND METHOD |
| <p>As the below named inventor, I declare that:</p> <p>This declaration <input checked="" type="checkbox"/> The attached application, or<br/>is directed to: <input type="checkbox"/> United States application or PCT international application number _____<br/>filed on _____</p> <p>The above-identified application was made or authorized to be made by me.</p> <p>I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.</p> <p>I have reviewed and understand the contents of the above-identified application, including the claims.</p> <p>I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.</p> <p>All statements made herein of my/our own knowledge are true, all statements made herein 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 are punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both, and may jeopardize the validity of the application or any patent issuing thereon.</p> <p style="text-align: center;"><b>WARNING:</b></p> <p>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.</p> |                                         |
| <p><b>LEGAL NAME OF INVENTOR</b></p> <p>Inventor: _____ Damian Kelly Harris-Dowsett _____ Date (Optional): _____</p> <p>**Signature: _____  _____</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                         |

\*\* An electronic S-signature is permitted. The S-signature must consist only of letters, or Arabic numerals, or both, with appropriate spaces and commas, periods, apostrophes, or hyphens for punctuation, and the person signing the correspondence must insert his or her own S-signature with a first single forward slash mark before and a second single forward slash mark after the S-signature (e.g., /Dr. James T. Jones, Jr./).

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of  
Invention**

A SPEECH RECOGNITION CIRCUIT AND METHOD

As the below named inventor, I declare that:

This declaration ☒ The attached application, or  
is directed to:

☐ 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.

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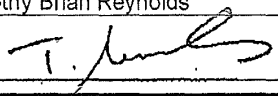
All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both, and may jeopardize the validity of the application or any patent issuing thereon.

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**LEGAL NAME OF INVENTOR**

Inventor: \_\_\_\_\_ Timothy Brian Reynolds \_\_\_\_\_ Date (Optional): \_\_\_\_\_

\*\*Signature: \_\_\_\_\_  \_\_\_\_\_

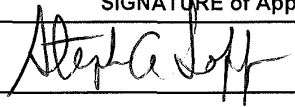
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## TRANSMITTAL FOR POWER OF ATTORNEY TO ONE OR MORE REGISTERED PRACTITIONERS

**NOTE:** This form is to be submitted with the Power of Attorney by Applicant form (PTO/AIA/82B or equivalent) to identify the application to which the Power of Attorney is directed, in accordance with 37 CFR 1.5. If the Power of Attorney by Applicant form is not accompanied by this transmittal form or an equivalent, the Power of Attorney will not be recognized in the application.

|                        |                                       |
|------------------------|---------------------------------------|
| Application Number     | Not Yet Assigned                      |
| Filing Date            | Concurrently Herewith                 |
| First Named Inventor   | Guy Larri                             |
| Title                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| Art Unit               | N/A                                   |
| Examiner Name          | Not Yet Assigned                      |
| Attorney Docket Number | M0025.0369.US.D                       |

### SIGNATURE of Applicant or Patent Practitioner

|                     |                                                                                   |           |                |
|---------------------|-----------------------------------------------------------------------------------|-----------|----------------|
| Signature           |  | Date      | August 8, 2018 |
| Name                | Stephen A. Soffen                                                                 | Telephone | (202) 420-4879 |
| Registration Number | 31,063                                                                            |           |                |

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

☒ X

\*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. 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 3 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.

**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

As the Applicant and/or Assignee I hereby appoint:

☒ Practitioners associated with the Customer Number: 24998

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

| Name | Registration Number | Name | Registration Number |
|------|---------------------|------|---------------------|
|      |                     |      |                     |

as attorney(s) or agent(s) to represent the Applicant and/or Assignee before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned to the Applicant and/or Assignee, under an obligation to be assigned to the Applicant and/or Assignee, or for which the Applicant and/or Assignee has a sufficient proprietary interest.

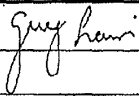
Assignee and/or Applicant Name and Address:

Zentian Limited  
Paddock Row  
Elsworth, Cambridge  
Cambridgeshire CB23 4JG  
United Kingdom

**The practitioners appointed in this form are authorized to act on behalf of the assignee and/or applicant to transact all business in the United States Patent and Trademark Office.**

**SIGNATURE of Assignee and/or Applicant**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee and/or applicant

|                   |                                                                                     |           |                     |
|-------------------|-------------------------------------------------------------------------------------|-----------|---------------------|
| Signature         |  | Date      | 28 July 2014        |
| Name              | GUY LARRÉ                                                                           | Telephone | 07768 424 838 in UK |
| Title and Company | Director, Zentian Limited                                                           |           |                     |

DSMDB-3259765 v1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

---

In re Patent Application of:  
Guy Larri et al.

Application No.: Not Yet Assigned

Confirmation No.: N/A

Filed: Concurrently Herewith

Art Unit: N/A

For: SPEECH RECOGNITION CIRCUIT AND  
METHOD

---

Examiner: Not Yet Assigned

**INFORMATION DISCLOSURE STATEMENT (IDS)**

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

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, the attention of the United States Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of the above-identified application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement accompanies the new patent application submitted herewith.

Copies of the references on the PTO/SB/08 are not provided.

In accordance with 37 C.F.R. § 1.98(d)(1) and as noted by a double-asterisk next to the Cite No. on the attached PTO/SB/08, the following references are not supplied because they were previously cited by or submitted to the Office in prior application number 14/788,164 filed June 30, 2015 and relied on in the above-identified application for an earlier effective filing date

200494.00239/110050465

under 35 U.S.C. § 120.

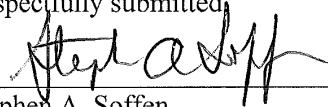
In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made. In accordance with 37 C.F.R. § 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in this Information Disclosure Statement is, or is considered to be, material to the patentability as defined in 37 C.F.R. § 1.56(b).

It is submitted that the Information Disclosure Statement is in compliance with 37 C.F.R. § 1.98, and the Examiner is respectfully requested to consider the listed references.

The Director is hereby authorized to charge any additional fees which may be required with respect to this communication, or credit any overpayment, to Deposit Account No. 23-2185, under Order No. M0025.0369.US.D.

Dated: August 8, 2018

Respectfully submitted,

By 

Stephen A. Soffen

Registration No.: 31,063

BLANK ROME LLP

1825 Eye Street, NW

Washington, DC 20006-5403

(202) 420-2200

Attorney for Applicant

|                                                                                                                                              |   |    |   |                          |                       |
|----------------------------------------------------------------------------------------------------------------------------------------------|---|----|---|--------------------------|-----------------------|
| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    |   | <b>Complete if Known</b> |                       |
|                                                                                                                                              |   |    |   | Application Number       | Not Yet Assigned      |
|                                                                                                                                              |   |    |   | Filing Date              | Concurrently Herewith |
|                                                                                                                                              |   |    |   | First Named Inventor     | Guy Larri             |
|                                                                                                                                              |   |    |   | Art Unit                 | N/A                   |
|                                                                                                                                              |   |    |   | Examiner Name            | Not Yet Assigned      |
| Sheet                                                                                                                                        | 1 | of | 1 | Attorney Docket Number   | M0025.0369.US.D       |

| U.S. PATENT DOCUMENTS |                       |                                          |                                |                                                    |                                                                                 |
|-----------------------|-----------------------|------------------------------------------|--------------------------------|----------------------------------------------------|---------------------------------------------------------------------------------|
| Examiner Initials*    | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                       | Number-Kind Code <sup>2</sup> (if known) |                                |                                                    |                                                                                 |
| **                    | AA                    | 5,881,312                                | 03-1999                        | Dulong                                             |                                                                                 |
| **                    | AB                    | 7,328,153                                | 02-2008                        | Wells et al.                                       |                                                                                 |
| **                    | AC                    | 2004/0111264 A1                          | 06-2004                        | Wang et al.                                        |                                                                                 |
| **                    | AD                    | 2003/0061046 A1                          | 03-2003                        | Zhao et al.                                        |                                                                                 |
| **                    | AE                    | 6,374,220                                | 04-2002                        | Kao                                                |                                                                                 |
| **                    | AF                    | 9,076,441                                | 07-2015                        | Larri et al.                                       |                                                                                 |
| **                    | AG                    | 8,352,262                                | 01-2013                        | Larri et al.                                       |                                                                                 |
| **                    | AH                    | 7,979,277                                | 07-2011                        | Larri et al.                                       |                                                                                 |
| **                    | AI                    | 8,036,890                                | 10-2011                        | Catchpole                                          |                                                                                 |
| **                    | AJ                    | 8,612,227                                | 12-2013                        | Kato                                               |                                                                                 |

| FOREIGN PATENT DOCUMENTS |                       |                                                                                   |                                |                                                    |                                                                                 |                |
|--------------------------|-----------------------|-----------------------------------------------------------------------------------|--------------------------------|----------------------------------------------------|---------------------------------------------------------------------------------|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document                                                           | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>3</sup> |
|                          |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |                                                    |                                                                                 |                |
| **                       | BA                    | GB 2 391 679 A                                                                    | 02-2004                        |                                                    |                                                                                 |                |
| **                       | BB                    | EP 1 178 466 A2                                                                   | 02-2002                        |                                                    |                                                                                 |                |
| **                       | BC                    | WO 01/75862 A2                                                                    | 10-2001                        |                                                    |                                                                                 |                |
| **                       | BD                    | WO 01/48737 A2                                                                    | 07-2001                        |                                                    |                                                                                 |                |
| **                       | BE                    | GB 2 333 172 A                                                                    | 07-1999                        |                                                    |                                                                                 |                |
| **                       | BF                    | WO 03/067572 A2                                                                   | 08-2003                        |                                                    |                                                                                 |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

| NON PATENT LITERATURE DOCUMENTS |                       |                                                                                                                                                                                                                                                                 |                |
|---------------------------------|-----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | 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, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
| **                              | CA                    | Gliniski et al., "Spoken Language Recognition on DSP Array Processor" IEEE Transactions on Parallel and Distributed Systems, Vol. 5, No. 7, pp. 697-703, July 1, 1994.                                                                                          |                |
| **                              | CB                    | S. Chatterjee et al., "Connected Speech Recognition on a Multiple Processor Pipeline." ICASSP 89, pp. 774-777, May 23, 1989.                                                                                                                                    |                |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

200494.00239/110050436

| Electronic Patent Application Fee Transmittal |          |                                       |        |                      |
|-----------------------------------------------|----------|---------------------------------------|--------|----------------------|
| Application Number:                           |          |                                       |        |                      |
| Filing Date:                                  |          |                                       |        |                      |
| Title of Invention:                           |          | SPEECH RECOGNITION CIRCUIT AND METHOD |        |                      |
| First Named Inventor/Applicant Name:          |          | Guy Larri                             |        |                      |
| Filer:                                        |          | Stephen A. Soffen/Deborah Proctor     |        |                      |
| Attorney Docket Number:                       |          | M0025.0369.US.D                       |        |                      |
| 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                                     | 75     | 75                   |
| UTILITY SEARCH FEE                            | 2111     | 1                                     | 330    | 330                  |
| UTILITY EXAMINATION FEE                       | 2311     | 1                                     | 380    | 380                  |
| Pages:                                        |          |                                       |        |                      |
| Claims:                                       |          |                                       |        |                      |
| Miscellaneous-Filing:                         |          |                                       |        |                      |
| Petition:                                     |          |                                       |        |                      |
| Patent-Appeals-and-Interference:              |          |                                       |        |                      |

| Description                              | Fee Code | Quantity | Amount | Sub-Total in USD(\$) |
|------------------------------------------|----------|----------|--------|----------------------|
| <b>Post-Allowance-and-Post-Issuance:</b> |          |          |        |                      |
| <b>Extension-of-Time:</b>                |          |          |        |                      |
| <b>Miscellaneous:</b>                    |          |          |        |                      |
| <b>Total in USD (\$)</b>                 |          |          |        | <b>785</b>           |

| Electronic Acknowledgement Receipt          |                                       |
|---------------------------------------------|---------------------------------------|
| <b>EFS ID:</b>                              | 33414852                              |
| <b>Application Number:</b>                  | 16058722                              |
| <b>International Application Number:</b>    |                                       |
| <b>Confirmation Number:</b>                 | 6370                                  |
| <b>Title of Invention:</b>                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| <b>First Named Inventor/Applicant Name:</b> | Guy Larri                             |
| <b>Customer Number:</b>                     | 24998                                 |
| <b>Filer:</b>                               | Stephen A. Soffen/Deborah Proctor     |
| <b>Filer Authorized By:</b>                 | Stephen A. Soffen                     |
| <b>Attorney Docket Number:</b>              | M0025.0369.US.D                       |
| <b>Receipt Date:</b>                        | 08-AUG-2018                           |
| <b>Filing Date:</b>                         |                                       |
| <b>Time Stamp:</b>                          | 17:36:03                              |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)           |

### Payment information:

|                                                                                                                |                       |
|----------------------------------------------------------------------------------------------------------------|-----------------------|
| Submitted with Payment                                                                                         | yes                   |
| Payment Type                                                                                                   | CARD                  |
| Payment was successfully received in RAM                                                                       | \$785                 |
| RAM confirmation Number                                                                                        | 080918INTEFSW17371100 |
| 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                            |                                                     | M00250369USDDivAppl.pdf | 9350609                                  | yes              | 112              |
|                              |                                                     |                         | 69a9907b0ef58be66abe62ca93fb8843c7b932fa |                  |                  |
|                              | Multipart Description/PDF files in .zip description |                         |                                          |                  |                  |
|                              | Document Description                                |                         | Start                                    | End              |                  |
|                              | Transmittal of New Application                      |                         | 1                                        | 1                |                  |
|                              | Application Data Sheet                              |                         | 2                                        | 8                |                  |
|                              | Specification                                       |                         | 9                                        | 73               |                  |
|                              | Claims                                              |                         | 74                                       | 75               |                  |
|                              | Abstract                                            |                         | 76                                       | 76               |                  |
|                              | Drawings-only black and white line drawings         |                         | 77                                       | 103              |                  |
|                              | Oath or Declaration filed                           |                         | 104                                      | 107              |                  |
|                              | Power of Attorney                                   |                         | 108                                      | 109              |                  |
|                              | Transmittal Letter                                  |                         | 110                                      | 111              |                  |
|                              | Information Disclosure Statement (IDS) Form (SB08)  |                         | 112                                      | 112              |                  |
|                              | Warnings:                                           |                         |                                          |                  |                  |
| Information:                 |                                                     |                         |                                          |                  |                  |
| 2                            | Fee Worksheet (SB06)                                | fee-info.pdf            | 35225                                    | no               | 2                |
|                              |                                                     |                         | b91e538728e4c50602de42edd676e28cc913fe19 |                  |                  |
| Warnings:                    |                                                     |                         |                                          |                  |                  |
| Information:                 |                                                     |                         |                                          |                  |                  |
| Total Files Size (in bytes): |                                                     |                         | 9385834                                  |                  |                  |

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

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

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

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

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

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

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



UNITED STATES PATENT AND TRADEMARK OFFICE

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

| APPLICATION<br>NUMBER | FILING or<br>371(c) DATE | GRP ART<br>UNIT | FIL FEE REC'D | ATTY. DOCKET NO | TOT CLAIMS | IND CLAIMS |
|-----------------------|--------------------------|-----------------|---------------|-----------------|------------|------------|
| 16/058,722            | 08/08/2018               | 2658            | 785           | M0025.0369.US.D | 9          | 1          |

CONFIRMATION NO. 6370

FILING RECEIPT



0000000101839787

24998  
Blank Rome LLP  
1825 EYE STREET NW  
Washington, DC 20006-5403

Date Mailed: 08/27/2018

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)**

Guy Larri, Cambridge, UNITED KINGDOM;  
Mark Catchpole, Cambridge, UNITED KINGDOM;  
Damian Kelly Harris-Dowsett, Coventry, UNITED KINGDOM;  
Timothy Brian Reynolds, Cambridge, UNITED KINGDOM;

**Applicant(s)**

Zentian Limited, Cambridge, UNITED KINGDOM

**Power of Attorney:** The patent practitioners associated with Customer Number 24998

**Domestic Priority data as claimed by applicant**

This application is a DIV of 14/788,164 06/30/2015 PAT 10062377  
which is a CON of 13/735,091 01/07/2013 PAT 9076441  
which is a CON of 13/162,128 06/16/2011 PAT 8352262  
which is a DIV of 11/662,704 03/14/2007 PAT 7979277  
which is a 371 of PCT/GB2005/003554 09/14/2005

**Foreign Applications** (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see <http://www.uspto.gov> for more information.)  
UNITED KINGDOM 0420464.0 09/14/2004 No Access Code Provided

**Permission to Access Application via Priority Document Exchange:** Yes

**Permission to Access Search Results:** Yes

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:** 08/24/2018

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 16/058,722**

**Projected Publication Date:** To Be Determined - pending completion of Corrected Papers

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

SPEECH RECOGNITION CIRCUIT AND METHOD

**Preliminary Class**

704

**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

page 2 of 4

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

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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.

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**NOT GRANTED**

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# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
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| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-----------------------|-----------------------|------------------------|
| 16/058,722         | 08/08/2018            | Guy Larri             | M0025.0369.US.D        |

**CONFIRMATION NO. 6370**

24998  
Blank Rome LLP  
1825 EYE STREET NW  
Washington, DC 20006-5403

## FORMALITIES LETTER



OC000000101839788\*

Date Mailed: 08/27/2018

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

### *Filing Date Granted*

An application number and filing date have been accorded to this application. The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121(d) are required. The drawings submitted are not acceptable because:
  - The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) 5, 7, 11, 14-16, 18-23.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

Replies must be received in the USPTO within the set time period or must include a proper Certificate of Mailing or Transmission under 37 CFR 1.8 with a mailing or transmission date within the set time period. For more information and a suggested format, see Form PTO/SB/92 and MPEP 512.

Replies should be mailed to:

Mail Stop Missing Parts  
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Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at (571) 272-4000 or (571) 272-4200 or 1-888-786-0101.

/agoitom/

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| <b>PATENT APPLICATION FEE DETERMINATION RECORD</b><br>Substitute for Form PTO-875                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                               |                                    |               |              |          | Application or Docket Number<br>16/058,722 |          |                               |   |   |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------|--------------|----------|--------------------------------------------|----------|-------------------------------|---|---|
| <b>APPLICATION AS FILED - PART I</b>                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |
| (Column 1)                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                               | (Column 2)                         |               | SMALL ENTITY |          | OR<br>OTHER THAN SMALL ENTITY              |          |                               |   |   |
| FOR                                                                                                                                                                                                                                                                                                                                                                                                        | NUMBER FILED                                                                                                                                                                                                                  | NUMBER EXTRA                       |               | RATE(\$)     | FEE(\$)  | RATE(\$)                                   | FEE(\$)  |                               |   |   |
| BASIC FEE<br><small>(37 CFR 1.16(a), (b), or (c))</small>                                                                                                                                                                                                                                                                                                                                                  | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 75       | N/A                                        |          |                               |   |   |
| SEARCH FEE<br><small>(37 CFR 1.16(k), (l), or (m))</small>                                                                                                                                                                                                                                                                                                                                                 | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 330      | N/A                                        |          |                               |   |   |
| EXAMINATION FEE<br><small>(37 CFR 1.16(o), (p), or (q))</small>                                                                                                                                                                                                                                                                                                                                            | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 380      | N/A                                        |          |                               |   |   |
| TOTAL CLAIMS<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                                                                                                                                                                                            | 9                                                                                                                                                                                                                             | minus 20 = *                       |               | x 50 =       | 0.00     | OR                                         |          |                               |   |   |
| INDEPENDENT CLAIMS<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                                                                                                                                                                                      | 1                                                                                                                                                                                                                             | minus 3 = *                        |               | x 230 =      | 0.00     |                                            |          |                               |   |   |
| APPLICATION SIZE FEE<br><small>(37 CFR 1.16(s))</small>                                                                                                                                                                                                                                                                                                                                                    | 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 <small>(37 CFR 1.16(j))</small>                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                               |                                    |               |              | 0.00     |                                            |          |                               |   |   |
| * If the difference in column 1 is less than zero, enter "0" in column 2.                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                               |                                    |               | TOTAL        | 785      | TOTAL                                      |          |                               |   |   |
| <b>APPLICATION AS AMENDED - PART II</b>                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |
| (Column 1)                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                               | (Column 2)                         |               | (Column 3)   |          | SMALL ENTITY                               |          | OR<br>OTHER THAN SMALL ENTITY |   |   |
| AMENDMENT A                                                                                                                                                                                                                                                                                                                                                                                                | CLAIMS REMAINING AFTER AMENDMENT                                                                                                                                                                                              | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |              | RATE(\$) | ADDITIONAL FEE(\$)                         | RATE(\$) | ADDITIONAL FEE(\$)            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Total<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                      | *                                  | Minus         | **           | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Independent<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                | *                                  | Minus         | ***          | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Application Size Fee <small>(37 CFR 1.16(s))</small>                                                                                                                                                                          |                                    |               |              |          |                                            |          | OR                            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>                                                                                                                                                |                                    |               |              |          |                                            |          | OR                            |   |   |
| TOTAL ADD'L FEE                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                               |                                    |               |              |          |                                            | OR       | TOTAL ADD'L FEE               |   |   |
| AMENDMENT B                                                                                                                                                                                                                                                                                                                                                                                                | CLAIMS REMAINING AFTER AMENDMENT                                                                                                                                                                                              | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |              | RATE(\$) | ADDITIONAL FEE(\$)                         | RATE(\$) | ADDITIONAL FEE(\$)            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Total<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                      | *                                  | Minus         | **           | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Independent<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                | *                                  | Minus         | ***          | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Application Size Fee <small>(37 CFR 1.16(s))</small>                                                                                                                                                                          |                                    |               |              |          |                                            |          | OR                            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>                                                                                                                                                |                                    |               |              |          |                                            |          | 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.<br>** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".<br>*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".<br>The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1. |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |

Docket No.: M0025.0369/P369-D  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Guy Larri et al.

Application No.: 16/058,722

Confirmation No.: 6370

Filed: August 8, 2018

Art Unit: 2658

For: SPEECH RECOGNITION CIRCUIT AND  
METHOD

Examiner: Not Yet Assigned

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS**

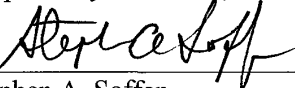
MS Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice to File Corrected Application Papers mailed August 27, 2018, Applicant respectfully submits 12 sheets of replacement drawings containing Figs. 5, 7, 11, 14-16 and 18-23 for filing in the above-identified patent application. No new matter has been added.

Dated: October 25, 2018

Respectfully submitted,

By 

Stephen A. Soffen

Registration No.: 31,063  
BLANK ROME LLP  
1825 Eye Street, NW  
Washington, DC 20006-5403  
(202) 420-2200  
Attorney for Applicant

149369.00102/113765582v.1

| Electronic Acknowledgement Receipt          |                                       |
|---------------------------------------------|---------------------------------------|
| <b>EFS ID:</b>                              | 34109834                              |
| <b>Application Number:</b>                  | 16058722                              |
| <b>International Application Number:</b>    |                                       |
| <b>Confirmation Number:</b>                 | 6370                                  |
| <b>Title of Invention:</b>                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| <b>First Named Inventor/Applicant Name:</b> | Guy Larri                             |
| <b>Customer Number:</b>                     | 24998                                 |
| <b>Filer:</b>                               | Stephen A. Soffen/Cheryl de Lopez     |
| <b>Filer Authorized By:</b>                 | Stephen A. Soffen                     |
| <b>Attorney Docket Number:</b>              | M0025.0369.US.D                       |
| <b>Receipt Date:</b>                        | 25-OCT-2018                           |
| <b>Filing Date:</b>                         | 08-AUG-2018                           |
| <b>Time Stamp:</b>                          | 09:44:19                              |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)           |

**Payment information:**

| Submitted with Payment |                      | no               |                                          |                  |                  |
|------------------------|----------------------|------------------|------------------------------------------|------------------|------------------|
| <b>File Listing:</b>   |                      |                  |                                          |                  |                  |
| Document Number        | Document Description | File Name        | File Size(Bytes)/<br>Message Digest      | Multi Part /.zip | Pages (if appl.) |
| 1                      |                      | drawings369d.pdf | 331224                                   | yes              | 13               |
|                        |                      |                  | 86b81e2cb5b6efd8a78cb27c44e2f129e70e7685 |                  |                  |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Multipart Description/PDF files in .zip description |        |     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|--------|-----|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Document Description                                | Start  | End |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Drawings-only black and white line drawings         | 2      | 13  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Applicant Response to Pre-Exam Formalities Notice   | 1      | 1   |
| Warnings:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                     |        |     |
| Information:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                     |        |     |
| Total Files Size (in bytes):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                     | 331224 |     |
| <p>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.</p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b><br/>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.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b><br/>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.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b><br/>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.</p> |                                                     |        |     |

Figure 5

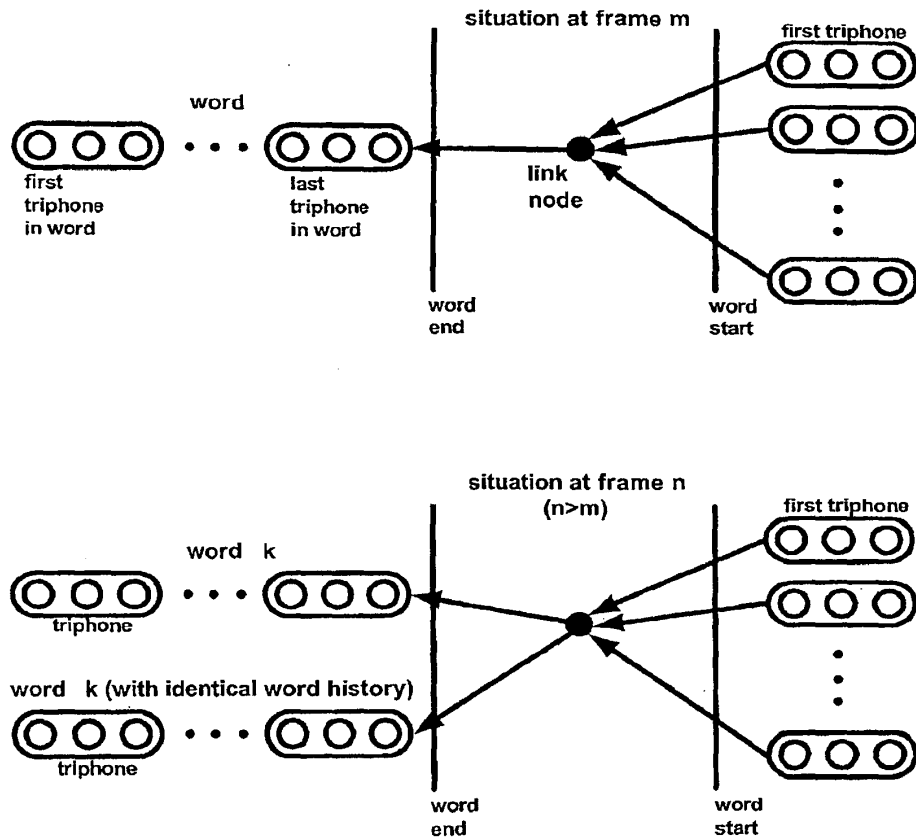


Figure 7

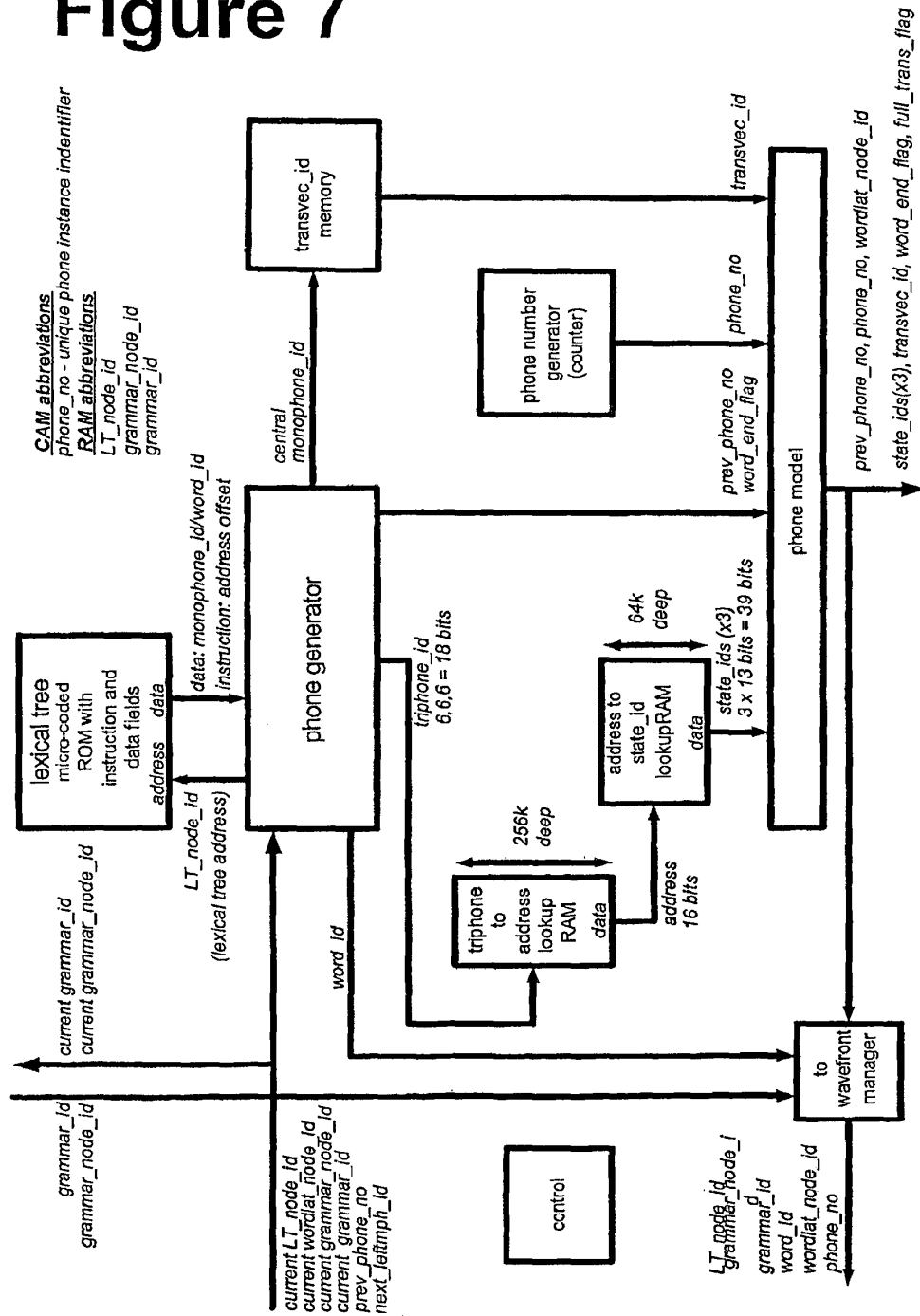


Figure 11

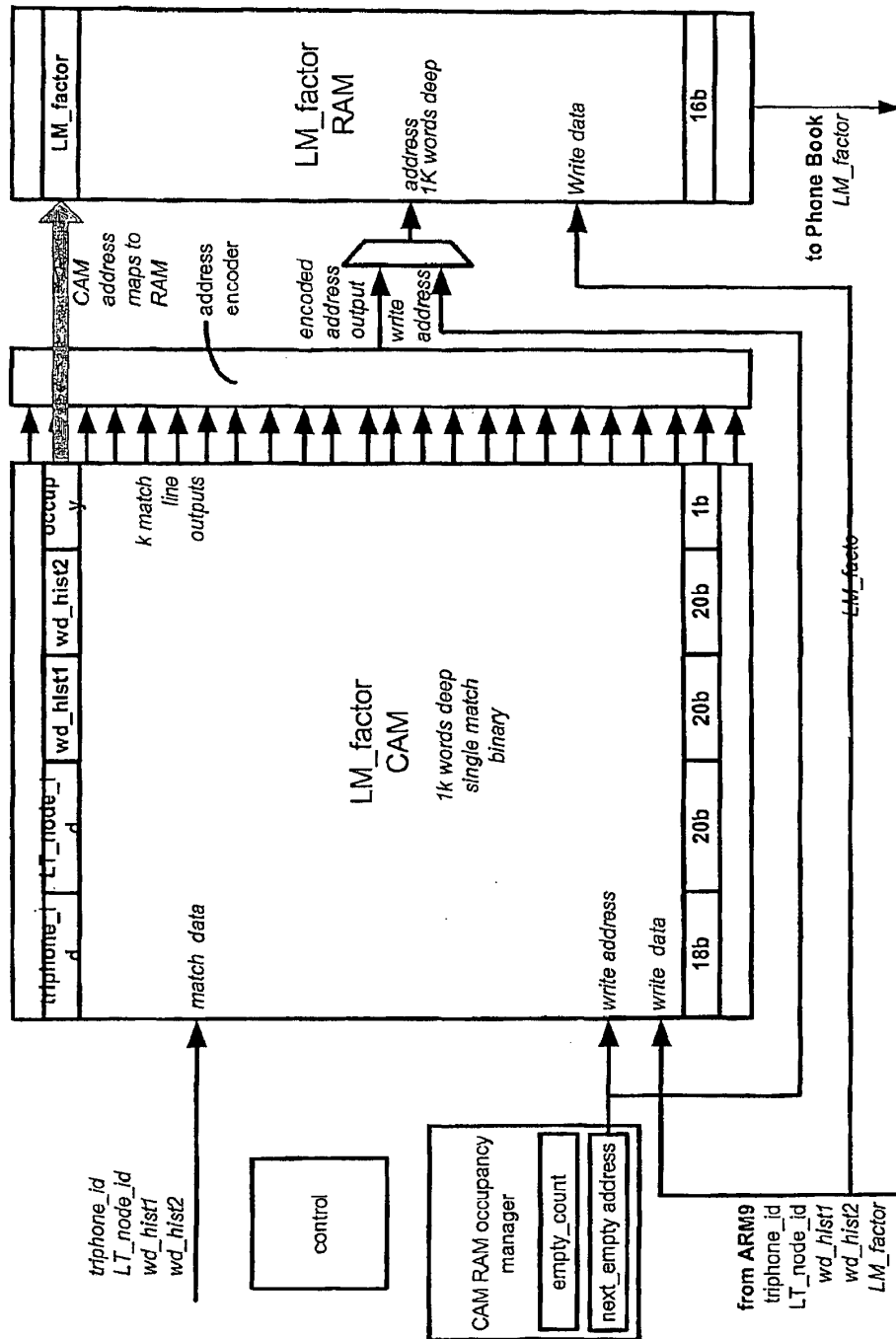


Figure 14

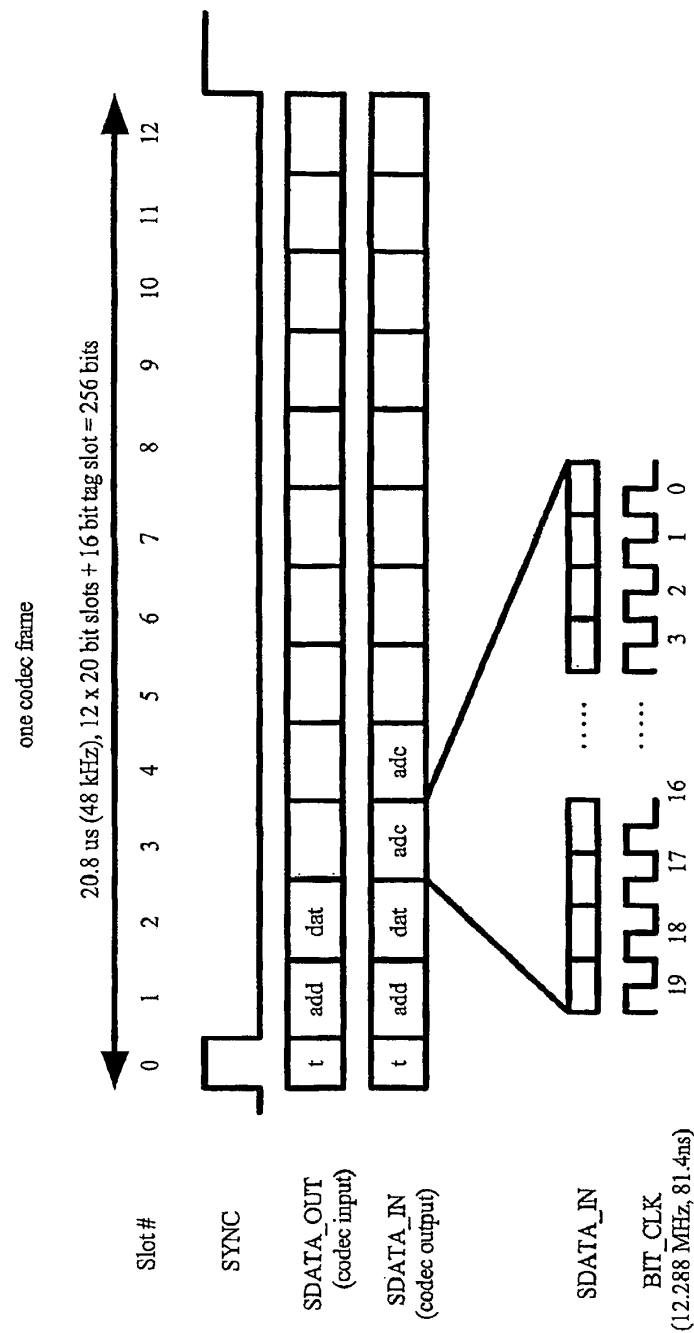


Figure 15

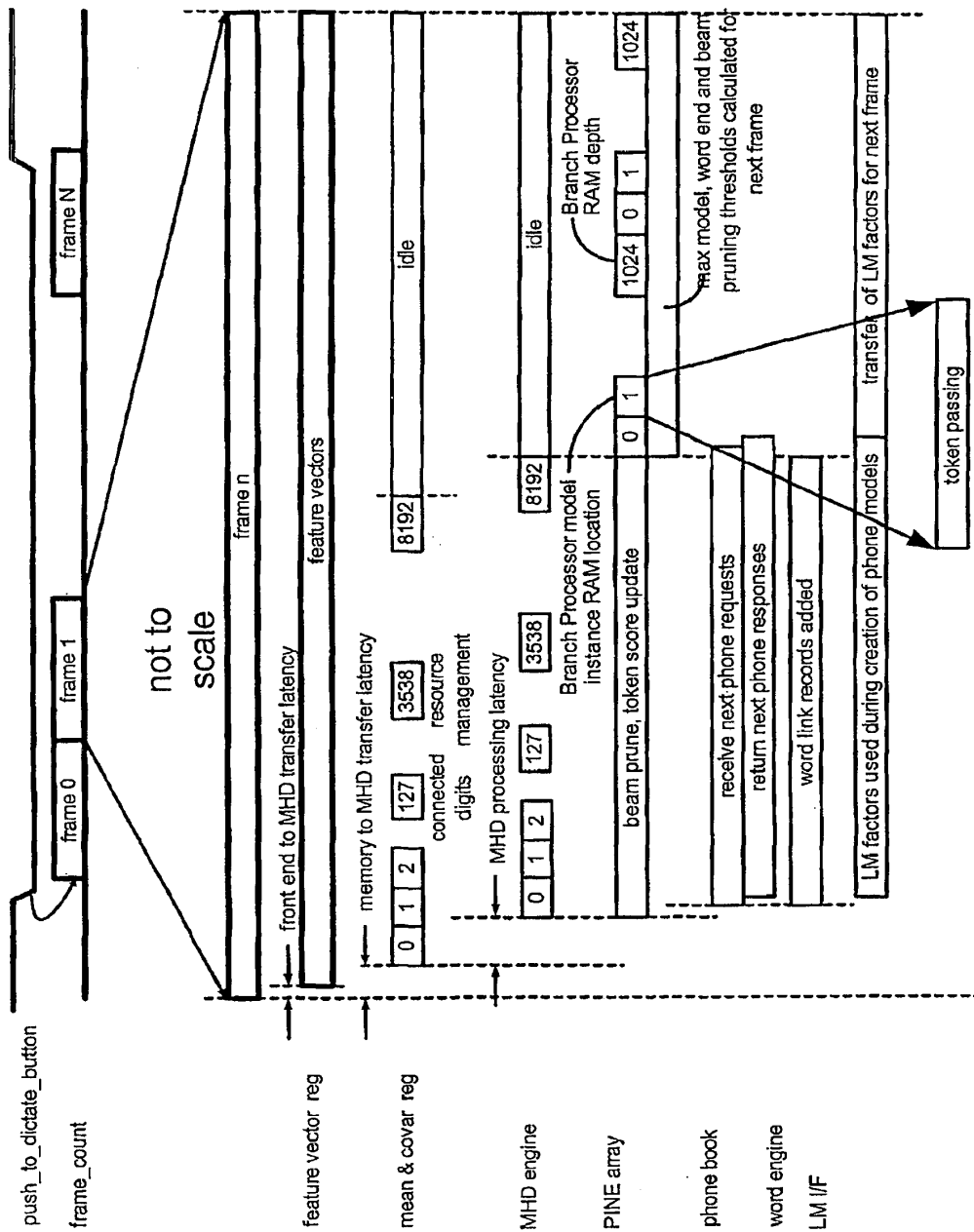
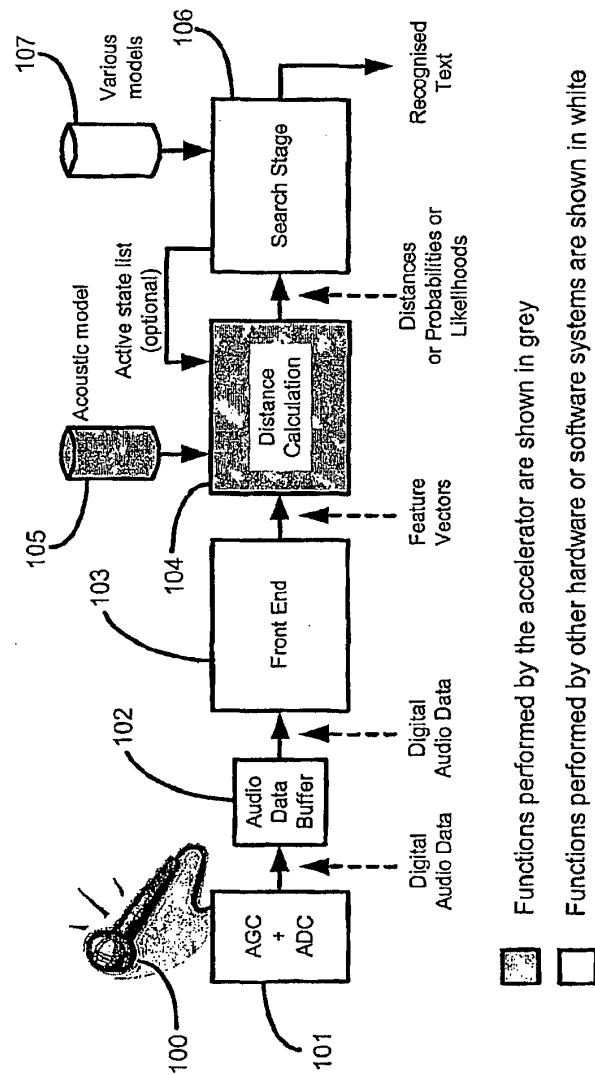


Figure 16



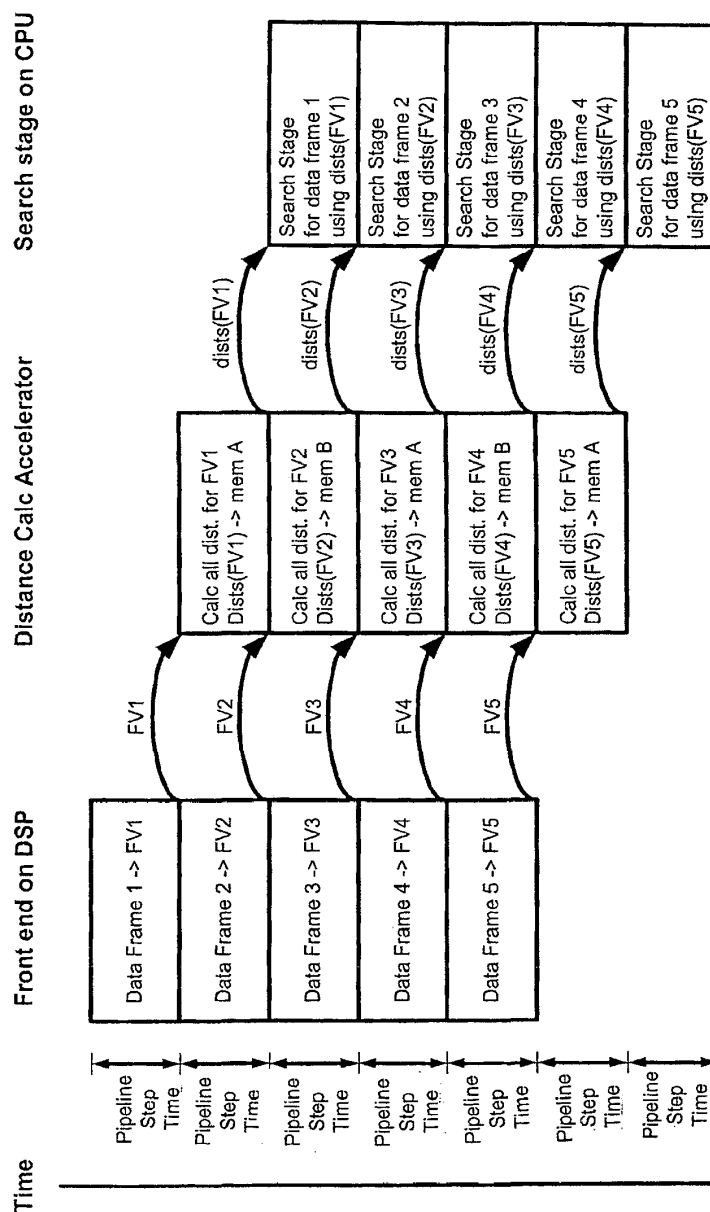
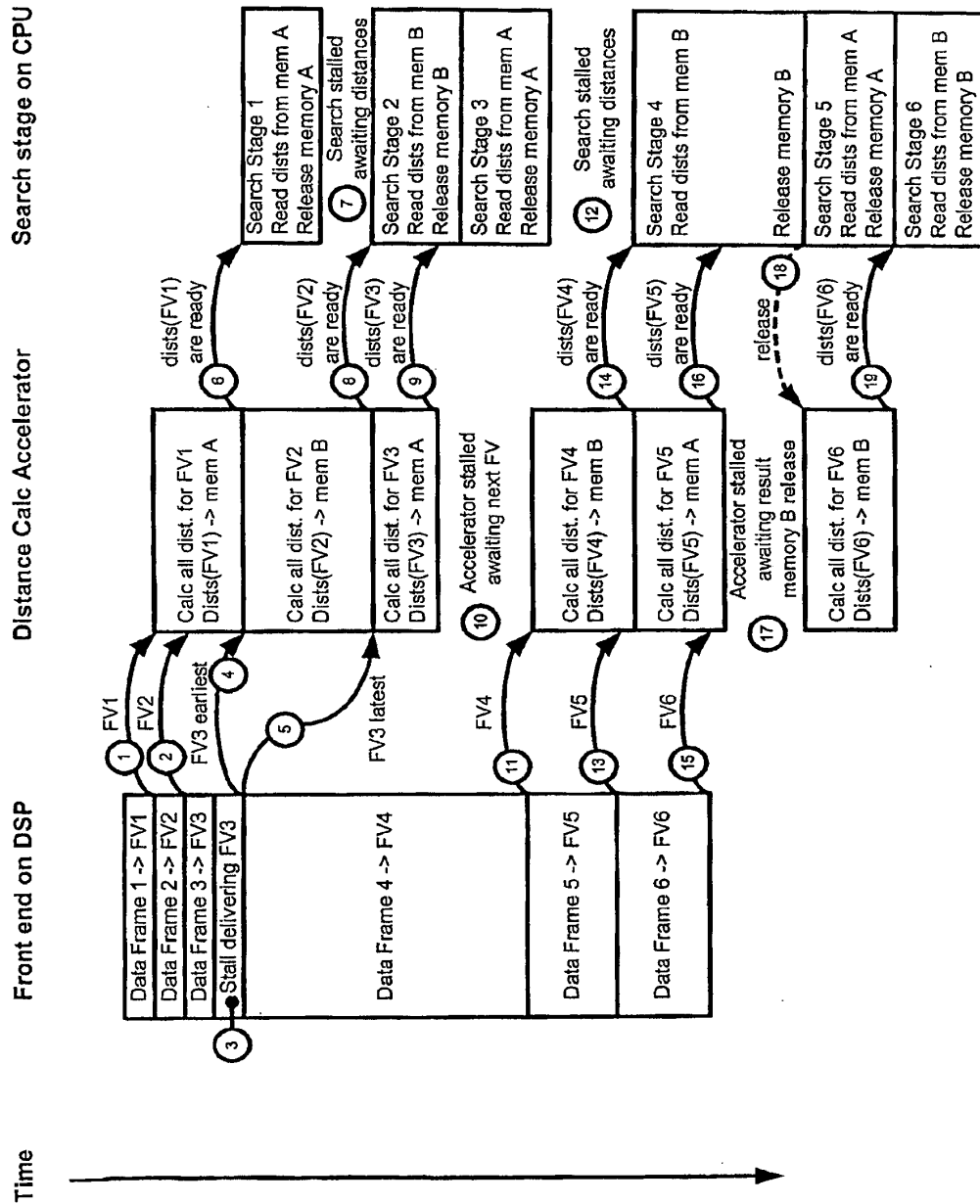
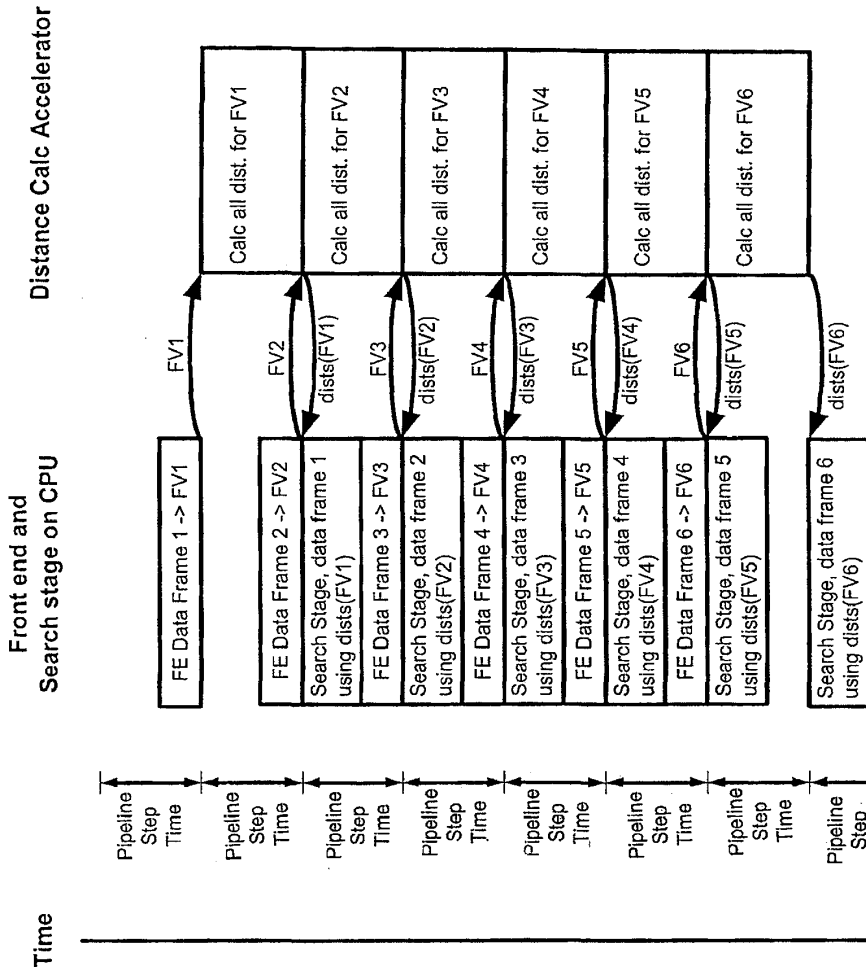


Figure 18

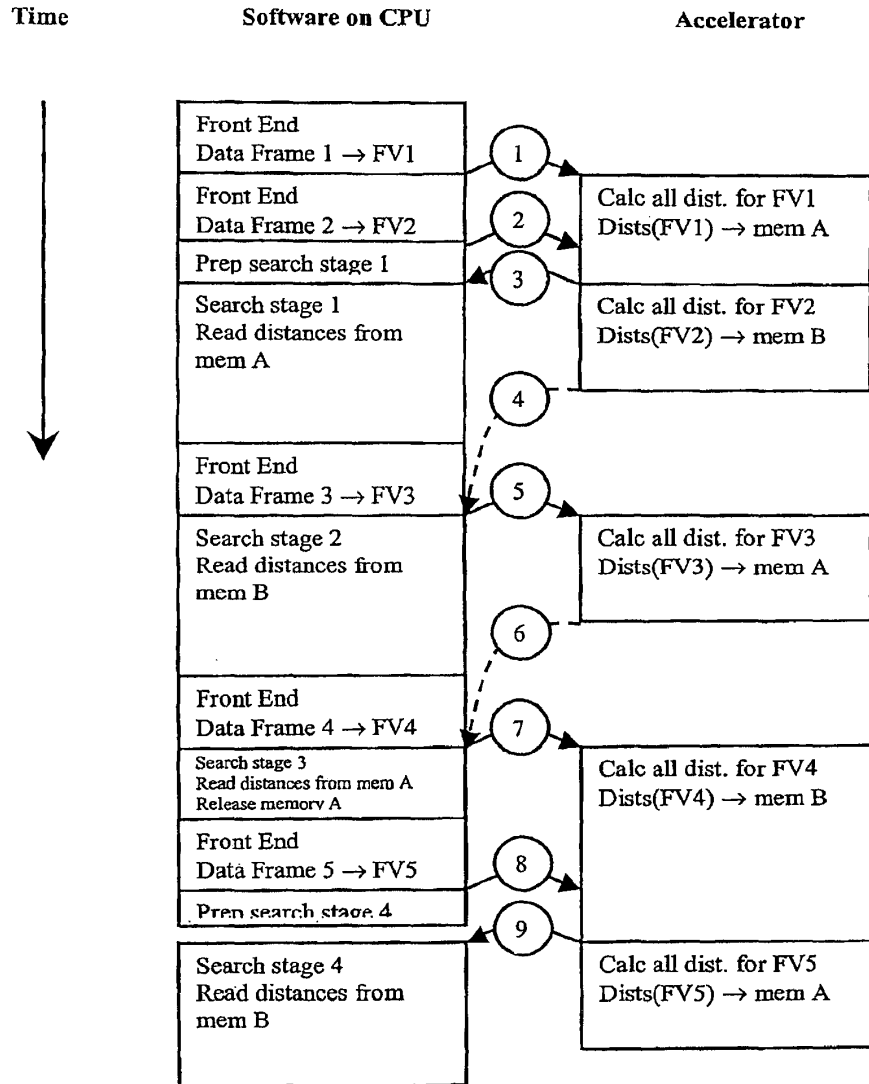
Figure 19





## Figure 20

FIGURE 21



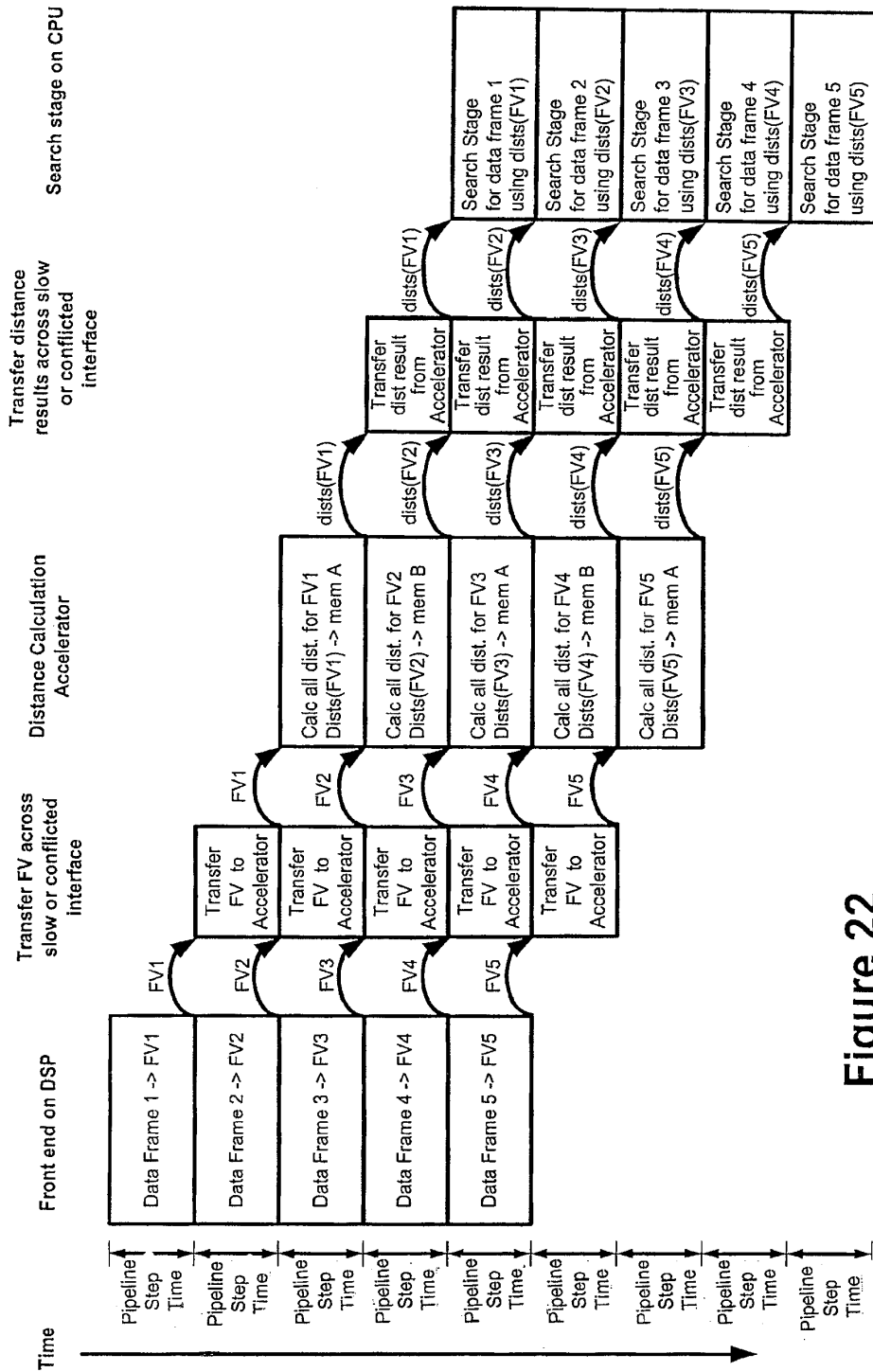


Figure 22

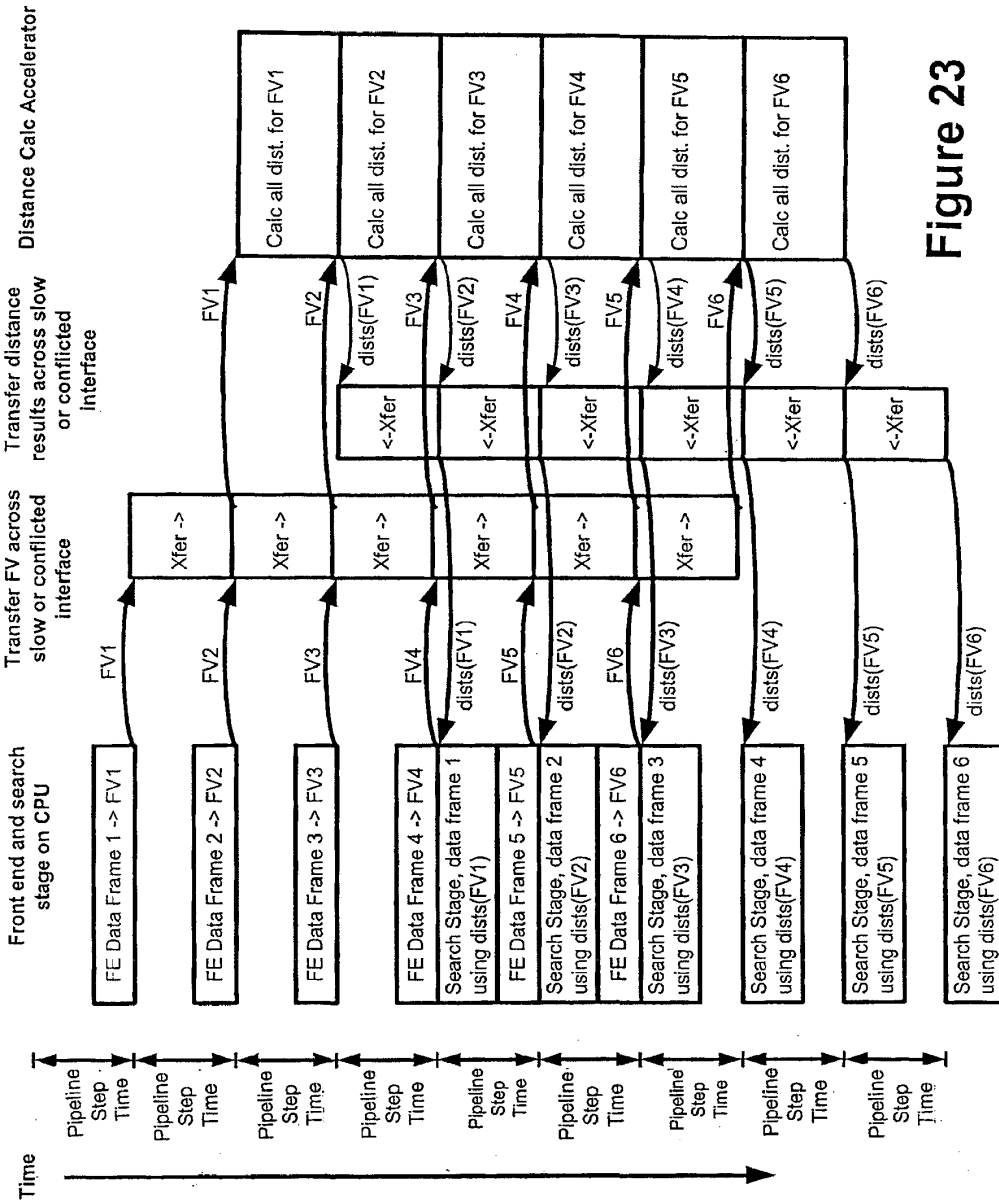


Figure 23



# 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 | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-----------------------|-----------------------|------------------------|
| 16/058,722         | 08/08/2018            | Guy Larri             | M0025.0369.US.D        |

**CONFIRMATION NO. 6370**

## FORMALITIES LETTER



OC000000103401386

Date Mailed: 10/29/2018

24998  
Blank Rome LLP  
1825 EYE STREET NW  
Washington, DC 20006-5403

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

### *Filing Date Granted*

An application number and filing date have been accorded to this application. The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121(d) are required. The drawings submitted are not acceptable because:
  - The drawings are not in compliance with 37 CFR 1.84 because figures 7, 11, 14 - 16, & 19 contain figure or view numbers that have incorrect orientation. Reference characters, sheet numbers, and view numbers must be oriented in the same direction as the view. See 37 CFR 1.84(p)(1).

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

Replies must be received in the USPTO within the set time period or must include a proper Certificate of Mailing or Transmission under 37 CFR 1.8 with a mailing or transmission date within the set time period. For more information and a suggested format, see Form PTO/SB/92 and MPEP 512.

Replies should be mailed to:

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web, including a copy of this Notice and selecting the document description "Applicant response to Pre-Exam Formalities Notice".  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at (571) 272-4000 or (571) 272-4200 or 1-888-786-0101.

/lphan/  

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UNITED STATES PATENT AND TRADEMARK OFFICE

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

| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-----------------------|-----------------------|------------------------|
| 16/058,722         | 08/08/2018            | Guy Larri             | M0025.0369.US.D        |

**CONFIRMATION NO. 6370**

**WITHDRAWAL NOTICE**



OC000000103401296

Date Mailed: 10/29/2018

24998  
Blank Rome LLP  
1825 EYE STREET NW  
Washington, DC 20006-5403

**Letter Regarding a New Notice and/or the Status of the Application**

If a new notice or Filing Receipt is enclosed, applicant may disregard the previous notice mailed on 08/27/2018. The time period for reply runs from the mail date of the new notice. Within the time period for reply, applicant is required to file a reply in compliance with the requirements set forth in the new notice to avoid abandonment of the application.

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <http://www.uspto.gov/ebc>.

If the reply is not filed electronically via EFS-Web, the reply must be accompanied by a copy of the new notice.

If the Office previously granted a petition to withdraw the holding of abandonment or a petition to revive under 37 CFR 1.137, the status of the application has been returned to pending status.

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at **(571) 272-4000** or **(571) 272-4200** or **1-888-786-0101**.

/lphan/

| <b>PATENT APPLICATION FEE DETERMINATION RECORD</b><br>Substitute for Form PTO-875                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                               |                                    |               |              |          | Application or Docket Number<br>16/058,722 |          |                               |   |   |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------|--------------|----------|--------------------------------------------|----------|-------------------------------|---|---|
| <b>APPLICATION AS FILED - PART I</b>                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |
| (Column 1)                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                               | (Column 2)                         |               | SMALL ENTITY |          | OR<br>OTHER THAN SMALL ENTITY              |          |                               |   |   |
| FOR                                                                                                                                                                                                                                                                                                                                                                                                        | NUMBER FILED                                                                                                                                                                                                                  | NUMBER EXTRA                       |               | RATE(\$)     | FEE(\$)  | RATE(\$)                                   | FEE(\$)  |                               |   |   |
| BASIC FEE<br><small>(37 CFR 1.16(a), (b), or (c))</small>                                                                                                                                                                                                                                                                                                                                                  | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 75       | N/A                                        |          |                               |   |   |
| SEARCH FEE<br><small>(37 CFR 1.16(k), (l), or (m))</small>                                                                                                                                                                                                                                                                                                                                                 | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 330      | N/A                                        |          |                               |   |   |
| EXAMINATION FEE<br><small>(37 CFR 1.16(o), (p), or (q))</small>                                                                                                                                                                                                                                                                                                                                            | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 380      | N/A                                        |          |                               |   |   |
| TOTAL CLAIMS<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                                                                                                                                                                                            | 9                                                                                                                                                                                                                             | minus 20 = *                       |               | x 50 =       | 0.00     | OR                                         |          |                               |   |   |
| INDEPENDENT CLAIMS<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                                                                                                                                                                                      | 1                                                                                                                                                                                                                             | minus 3 = *                        |               | x 230 =      | 0.00     |                                            |          |                               |   |   |
| APPLICATION SIZE FEE<br><small>(37 CFR 1.16(s))</small>                                                                                                                                                                                                                                                                                                                                                    | 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 <small>(37 CFR 1.16(j))</small>                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                               |                                    |               |              | 0.00     |                                            |          |                               |   |   |
| * If the difference in column 1 is less than zero, enter "0" in column 2.                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                               |                                    |               | TOTAL        | 785      | TOTAL                                      |          |                               |   |   |
| <b>APPLICATION AS AMENDED - PART II</b>                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |
| (Column 1)                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                               | (Column 2)                         |               | (Column 3)   |          | SMALL ENTITY                               |          | OR<br>OTHER THAN SMALL ENTITY |   |   |
| AMENDMENT A                                                                                                                                                                                                                                                                                                                                                                                                | CLAIMS REMAINING AFTER AMENDMENT                                                                                                                                                                                              | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |              | RATE(\$) | ADDITIONAL FEE(\$)                         | RATE(\$) | ADDITIONAL FEE(\$)            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Total<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                      | *                                  | Minus         | **           | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Independent<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                | *                                  | Minus         | ***          | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Application Size Fee <small>(37 CFR 1.16(s))</small>                                                                                                                                                                          |                                    |               |              |          |                                            |          | OR                            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>                                                                                                                                                |                                    |               |              |          |                                            |          | OR                            |   |   |
| TOTAL ADD'L FEE                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                               |                                    |               |              |          |                                            | OR       | TOTAL ADD'L FEE               |   |   |
| (Column 1)                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                               | (Column 2)                         |               | (Column 3)   |          | SMALL ENTITY                               |          | OR<br>OTHER THAN SMALL ENTITY |   |   |
| AMENDMENT B                                                                                                                                                                                                                                                                                                                                                                                                | CLAIMS REMAINING AFTER AMENDMENT                                                                                                                                                                                              | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |              | RATE(\$) | ADDITIONAL FEE(\$)                         | RATE(\$) | ADDITIONAL FEE(\$)            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Total<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                      | *                                  | Minus         | **           | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Independent<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                | *                                  | Minus         | ***          | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Application Size Fee <small>(37 CFR 1.16(s))</small>                                                                                                                                                                          |                                    |               |              |          |                                            |          | OR                            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>                                                                                                                                                |                                    |               |              |          |                                            |          | 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.<br>** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".<br>*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".<br>The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1. |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |



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| APPLICATION<br>NUMBER | FILING or<br>371(c) DATE | GRP ART<br>UNIT | FIL FEE REC'D | ATTY. DOCKET NO | TOT CLAIMS | IND CLAIMS |
|-----------------------|--------------------------|-----------------|---------------|-----------------|------------|------------|
| 16/058,722            | 08/08/2018               | 2658            | 785           | M0025.0369.US.D | 9          | 1          |

CONFIRMATION NO. 6370

FILING RECEIPT



24998  
Blank Rome LLP  
1825 EYE STREET NW  
Washington, DC 20006-5403

Date Mailed: 10/29/2018

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)**

Guy Larri, Cambridge, UNITED KINGDOM;  
Mark Catchpole, Cambridge, UNITED KINGDOM;  
Damian Kelly Harris-Dowsett, Coventry, UNITED KINGDOM;  
Timothy Brian Reynolds, Cambridge, UNITED KINGDOM;

**Applicant(s)**

Zentian Limited, Cambridge, UNITED KINGDOM

**Power of Attorney:** The patent practitioners associated with Customer Number 24998

**Domestic Priority data as claimed by applicant**

This application is a DIV of 14/788,164 06/30/2015 PAT 10062377  
which is a CON of 13/735,091 01/07/2013 PAT 9076441  
which is a CON of 13/162,128 06/16/2011 PAT 8352262  
which is a DIV of 11/662,704 03/14/2007 PAT 7979277  
which is a 371 of PCT/GB2005/003554 09/14/2005

**Foreign Applications** (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see <http://www.uspto.gov> for more information.)  
UNITED KINGDOM 0420464.0 09/14/2004 No Access Code Provided

**Permission to Access Application via Priority Document Exchange:** Yes

**Permission to Access Search Results:** Yes

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**If Required, Foreign Filing License Granted:** 08/24/2018

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 16/058,722**

**Projected Publication Date:** To Be Determined - pending completion of Corrected Papers

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

SPEECH RECOGNITION CIRCUIT AND METHOD

**Preliminary Class**

704

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

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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

page 2 of 4

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

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---

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Docket No.: M0025.0369/P369-D  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Guy Larri et al.

Application No.: 16/058,722

Confirmation No.: 6370

Filed: August 8, 2018

Art Unit: 2658

For: SPEECH RECOGNITION CIRCUIT AND  
METHOD

Examiner: Not Yet Assigned

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS**

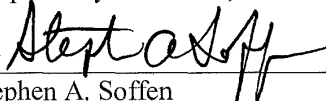
MS Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice to File Corrected Application Papers mailed October 29, 2018, Applicant respectfully submits six sheets of replacement drawings containing Figs. 7, 11, 14-16 and 19 for filing in the above-identified patent application. No new matter has been added.

Dated: October 29, 2018

Respectfully submitted,

By   
Stephen A. Soffen  
Registration No.: 31,063  
BLANK ROME LLP  
1825 Eye Street, NW  
Washington, DC 20006-5403  
(202) 420-2200  
Attorney for Applicant

149369.00102/113936321v.1

| Electronic Acknowledgement Receipt          |                                       |
|---------------------------------------------|---------------------------------------|
| <b>EFS ID:</b>                              | 34146800                              |
| <b>Application Number:</b>                  | 16058722                              |
| <b>International Application Number:</b>    |                                       |
| <b>Confirmation Number:</b>                 | 6370                                  |
| <b>Title of Invention:</b>                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| <b>First Named Inventor/Applicant Name:</b> | Guy Larri                             |
| <b>Customer Number:</b>                     | 24998                                 |
| <b>Filer:</b>                               | Stephen A. Soffen/Cheryl de Lopez     |
| <b>Filer Authorized By:</b>                 | Stephen A. Soffen                     |
| <b>Attorney Docket Number:</b>              | M0025.0369.US.D                       |
| <b>Receipt Date:</b>                        | 29-OCT-2018                           |
| <b>Filing Date:</b>                         | 08-AUG-2018                           |
| <b>Time Stamp:</b>                          | 15:51:42                              |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)           |

**Payment information:**

| Submitted with Payment |                      | no                       |                                          |                  |                  |
|------------------------|----------------------|--------------------------|------------------------------------------|------------------|------------------|
| <b>File Listing:</b>   |                      |                          |                                          |                  |                  |
| Document Number        | Document Description | File Name                | File Size(Bytes)/<br>Message Digest      | Multi Part /.zip | Pages (if appl.) |
| 1                      |                      | drawingsp369drevised.pdf | 456622                                   | yes              | 7                |
|                        |                      |                          | 66066e4849926ad63cee76e7c8310fbc16a1748a |                  |                  |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Multipart Description/PDF files in .zip description |        |     |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|--------|-----|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Document Description                                | Start  | End |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Drawings-only black and white line drawings         | 2      | 7   |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Applicant Response to Pre-Exam Formalities Notice   | 1      | 1   |
| Warnings:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                     |        |     |
| Information:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                     |        |     |
| Total Files Size (in bytes):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                     | 456622 |     |
| <p><b>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.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b><br/>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.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b><br/>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.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b><br/>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.</p> |                                                     |        |     |

Figure 7

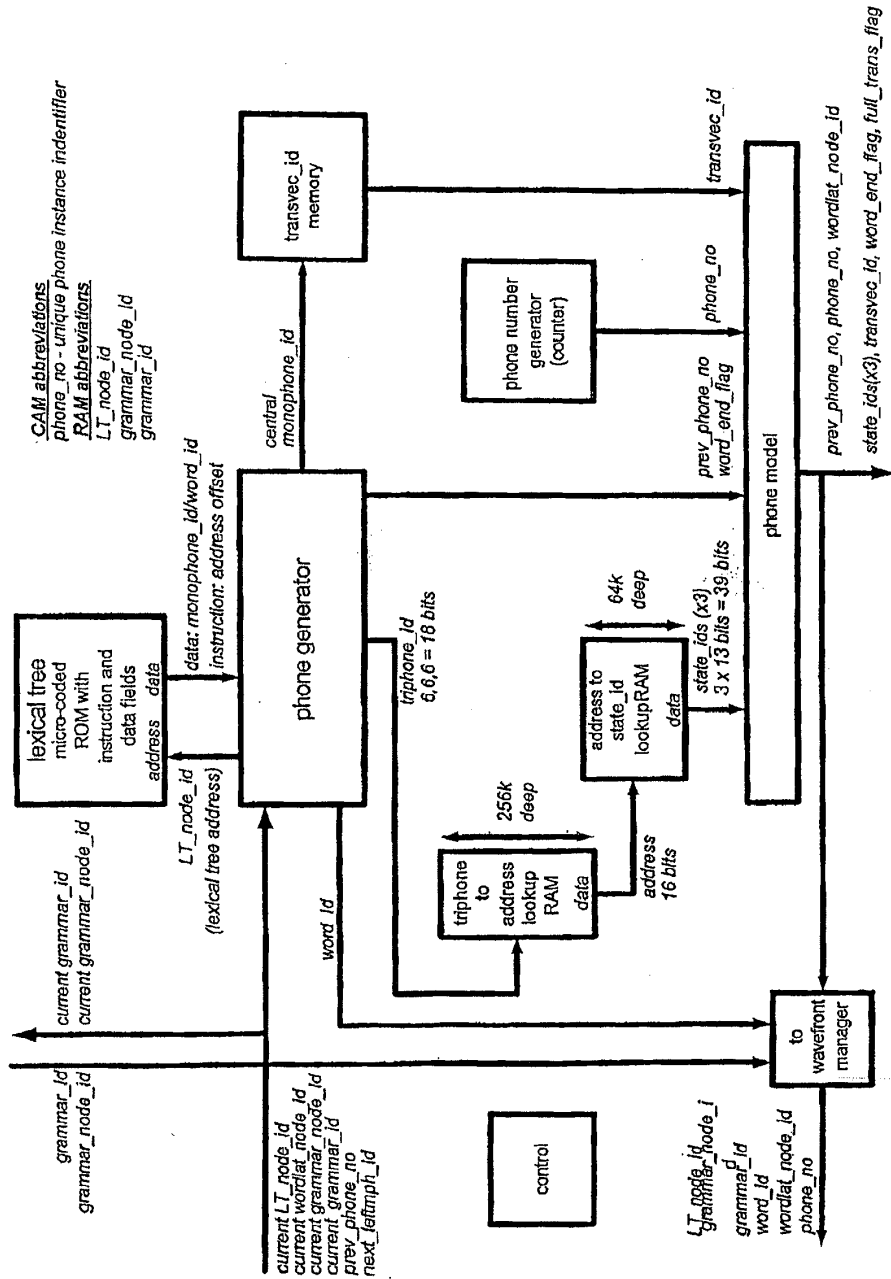


Figure 11

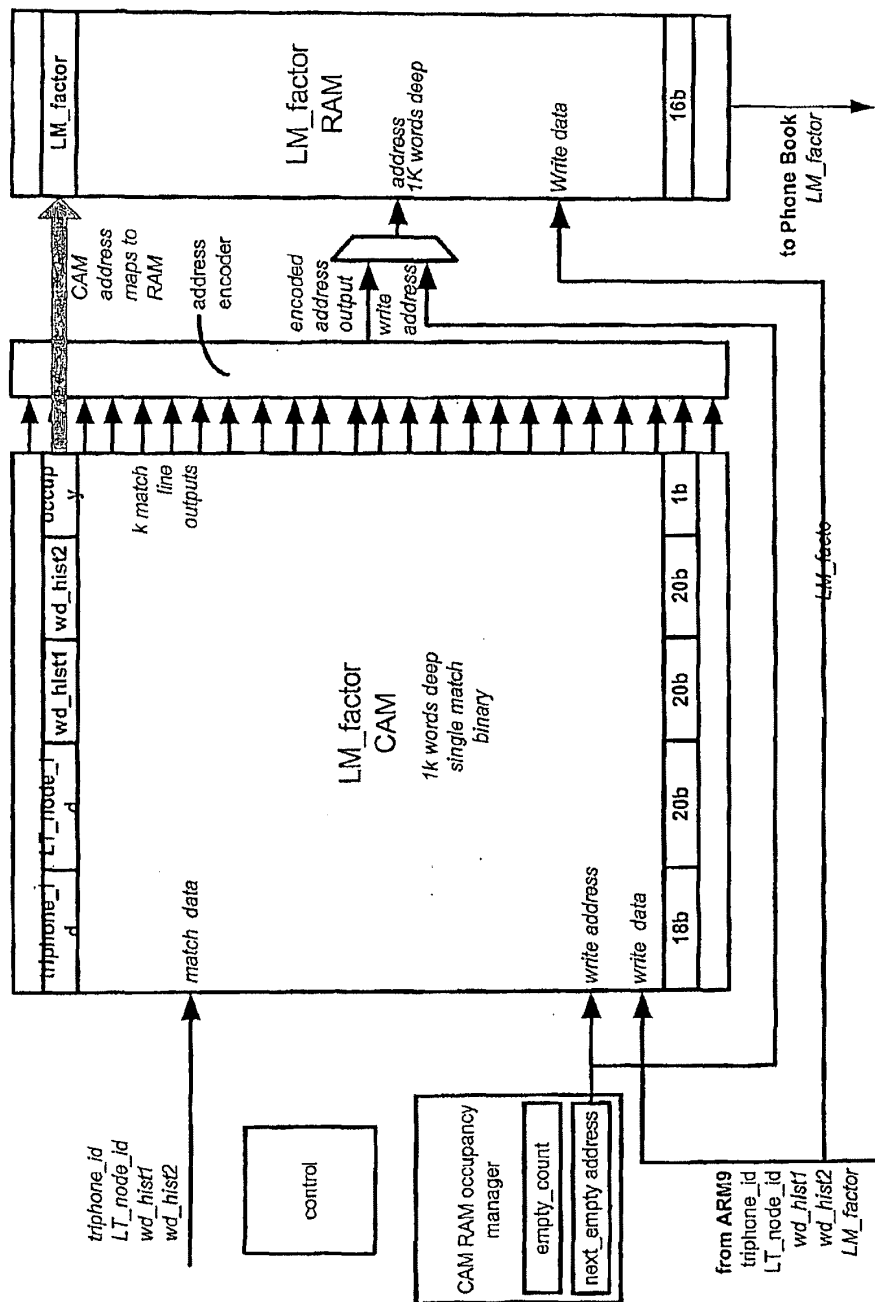


Figure 14

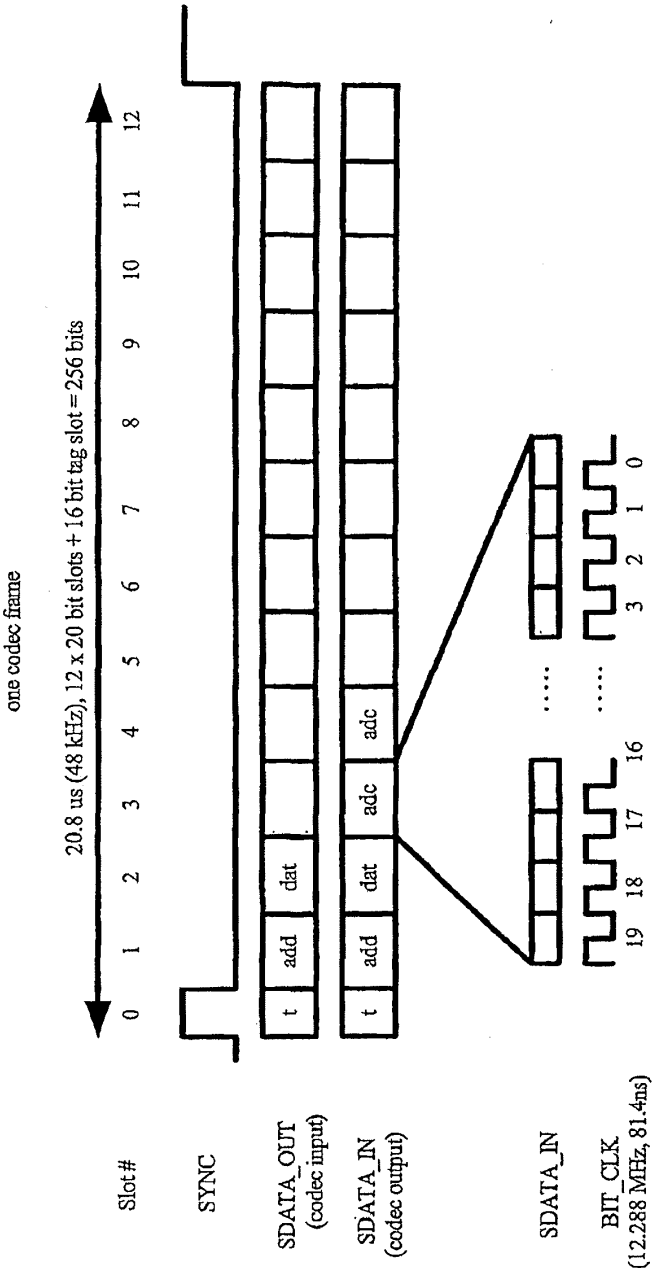


Figure 15

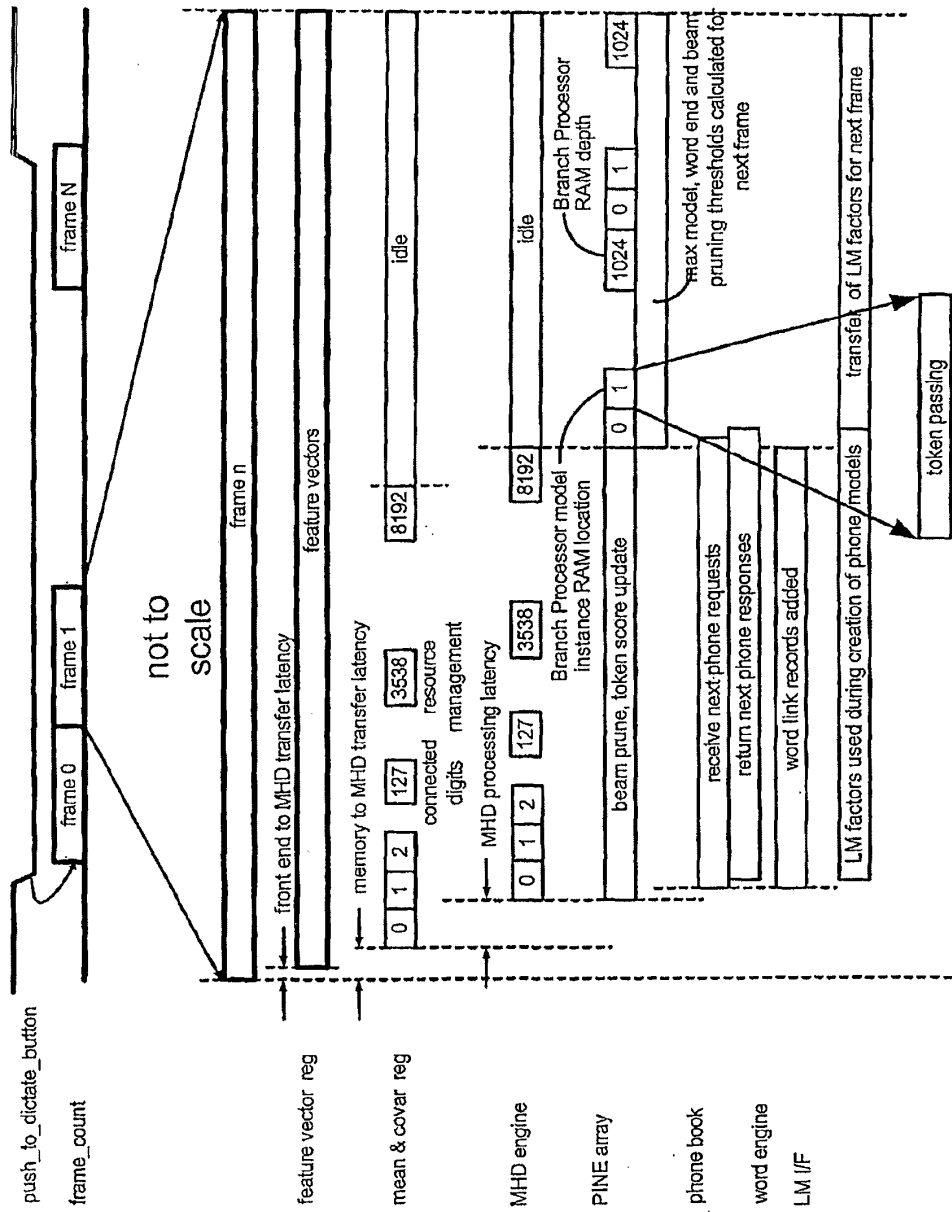


Figure 16

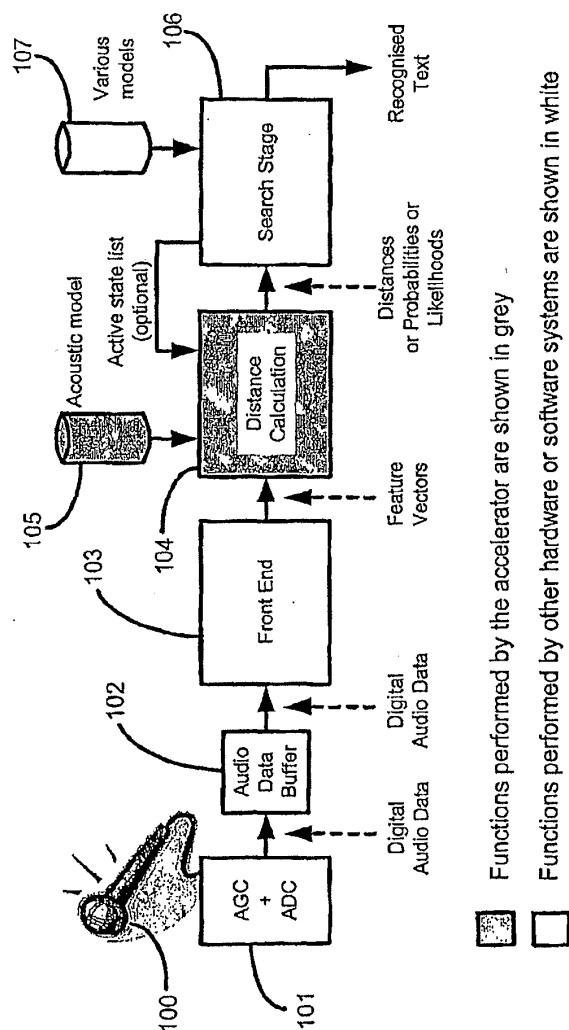
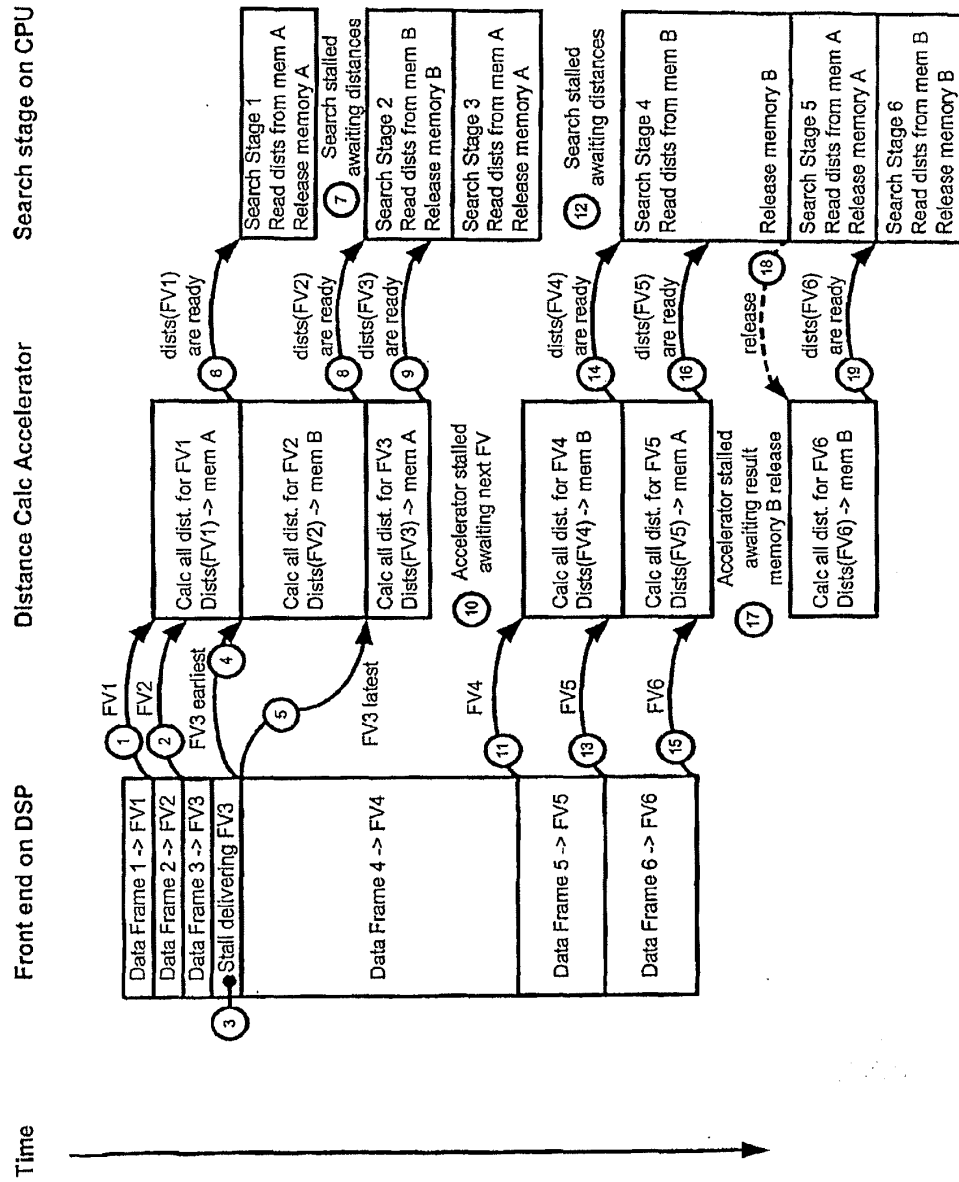


Figure 19





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| APPLICATION<br>NUMBER | FILING or<br>371(c) DATE | GRP ART<br>UNIT | FIL FEE REC'D | ATTY. DOCKET NO | TOT CLAIMS | IND CLAIMS |
|-----------------------|--------------------------|-----------------|---------------|-----------------|------------|------------|
| 16/058,722            | 08/08/2018               | 2658            | 785           | M0025.0369.US.D | 9          | 1          |

**CONFIRMATION NO. 6370**  
**UPDATED FILING RECEIPT**



0000000103477148

24998  
Blank Rome LLP  
1825 EYE STREET NW  
Washington, DC 20006-5403

Date Mailed: 11/01/2018

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)**

Guy Larri, Cambridge, UNITED KINGDOM;  
Mark Catchpole, Cambridge, UNITED KINGDOM;  
Damian Kelly Harris-Dowsett, Coventry, UNITED KINGDOM;  
Timothy Brian Reynolds, Cambridge, UNITED KINGDOM;

**Applicant(s)**

Zentian Limited, Cambridge, UNITED KINGDOM

**Power of Attorney:** The patent practitioners associated with Customer Number 24998

**Domestic Priority data as claimed by applicant**

This application is a DIV of 14/788,164 06/30/2015 PAT 10062377  
which is a CON of 13/735,091 01/07/2013 PAT 9076441  
which is a CON of 13/162,128 06/16/2011 PAT 8352262  
which is a DIV of 11/662,704 03/14/2007 PAT 7979277  
which is a 371 of PCT/GB2005/003554 09/14/2005

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UNITED KINGDOM 0420464.0 09/14/2004 No Access Code Provided

**Permission to Access Application via Priority Document Exchange:** Yes

**Permission to Access Search Results:** Yes

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**If Required, Foreign Filing License Granted:** 08/24/2018

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 16/058,722**

**Projected Publication Date:** 02/07/2019

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

SPEECH RECOGNITION CIRCUIT AND METHOD

**Preliminary Class**

704

**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**

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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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**NOT GRANTED**

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technology, manufacture products, deliver services, and grow your business, visit <http://www.SelectUSA.gov> or call +1-202-482-6800.

| <b>PATENT APPLICATION FEE DETERMINATION RECORD</b><br>Substitute for Form PTO-875                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                               |                                    |               |              |          | Application or Docket Number<br>16/058,722 |          |                               |   |   |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------|--------------|----------|--------------------------------------------|----------|-------------------------------|---|---|
| <b>APPLICATION AS FILED - PART I</b>                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |
| (Column 1)                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                               | (Column 2)                         |               | SMALL ENTITY |          | OR<br>OTHER THAN SMALL ENTITY              |          |                               |   |   |
| FOR                                                                                                                                                                                                                                                                                                                                                                                                        | NUMBER FILED                                                                                                                                                                                                                  | NUMBER EXTRA                       |               | RATE(\$)     | FEE(\$)  | RATE(\$)                                   | FEE(\$)  |                               |   |   |
| BASIC FEE<br><small>(37 CFR 1.16(a), (b), or (c))</small>                                                                                                                                                                                                                                                                                                                                                  | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 75       | N/A                                        |          |                               |   |   |
| SEARCH FEE<br><small>(37 CFR 1.16(k), (l), or (m))</small>                                                                                                                                                                                                                                                                                                                                                 | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 330      | N/A                                        |          |                               |   |   |
| EXAMINATION FEE<br><small>(37 CFR 1.16(o), (p), or (q))</small>                                                                                                                                                                                                                                                                                                                                            | N/A                                                                                                                                                                                                                           | N/A                                |               | N/A          | 380      | N/A                                        |          |                               |   |   |
| TOTAL CLAIMS<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                                                                                                                                                                                            | 9                                                                                                                                                                                                                             | minus 20 = *                       |               | x 50 =       | 0.00     | OR                                         |          |                               |   |   |
| INDEPENDENT CLAIMS<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                                                                                                                                                                                      | 1                                                                                                                                                                                                                             | minus 3 = *                        |               | x 230 =      | 0.00     |                                            |          |                               |   |   |
| APPLICATION SIZE FEE<br><small>(37 CFR 1.16(s))</small>                                                                                                                                                                                                                                                                                                                                                    | 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 <small>(37 CFR 1.16(j))</small>                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                               |                                    |               |              | 0.00     |                                            |          |                               |   |   |
| * If the difference in column 1 is less than zero, enter "0" in column 2.                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                               |                                    |               | TOTAL        | 785      | TOTAL                                      |          |                               |   |   |
| <b>APPLICATION AS AMENDED - PART II</b>                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |
| (Column 1)                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                               | (Column 2)                         |               | (Column 3)   |          | SMALL ENTITY                               |          | OR<br>OTHER THAN SMALL ENTITY |   |   |
| AMENDMENT A                                                                                                                                                                                                                                                                                                                                                                                                | CLAIMS REMAINING AFTER AMENDMENT                                                                                                                                                                                              | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |              | RATE(\$) | ADDITIONAL FEE(\$)                         | RATE(\$) | ADDITIONAL FEE(\$)            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Total<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                      | *                                  | Minus         | **           | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Independent<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                | *                                  | Minus         | ***          | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Application Size Fee <small>(37 CFR 1.16(s))</small>                                                                                                                                                                          |                                    |               |              |          |                                            |          | OR                            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>                                                                                                                                                |                                    |               |              |          |                                            |          | OR                            |   |   |
| TOTAL ADD'L FEE                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                               |                                    |               |              |          |                                            | OR       | TOTAL ADD'L FEE               |   |   |
| AMENDMENT B                                                                                                                                                                                                                                                                                                                                                                                                | CLAIMS REMAINING AFTER AMENDMENT                                                                                                                                                                                              | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |              | RATE(\$) | ADDITIONAL FEE(\$)                         | RATE(\$) | ADDITIONAL FEE(\$)            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Total<br><small>(37 CFR 1.16(i))</small>                                                                                                                                                                                      | *                                  | Minus         | **           | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Independent<br><small>(37 CFR 1.16(h))</small>                                                                                                                                                                                | *                                  | Minus         | ***          | =        | x                                          | =        | OR                            | x | = |
|                                                                                                                                                                                                                                                                                                                                                                                                            | Application Size Fee <small>(37 CFR 1.16(s))</small>                                                                                                                                                                          |                                    |               |              |          |                                            |          | OR                            |   |   |
|                                                                                                                                                                                                                                                                                                                                                                                                            | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>                                                                                                                                                |                                    |               |              |          |                                            |          | 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.<br>** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".<br>*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".<br>The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1. |                                                                                                                                                                                                                               |                                    |               |              |          |                                            |          |                               |   |   |



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| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-----------------------|-----------------------|------------------------|
| 16/058,722         | 08/08/2018            | Guy Larri             | M0025.0369.US.D        |

**CONFIRMATION NO. 6370**

24998  
Blank Rome LLP  
1825 Eye Street, NW  
Washington, DC 20006-5403

**PUBLICATION NOTICE**



OC000000105711027

**Title:**SPEECH RECOGNITION CIRCUIT AND METHOD

**Publication No.**US-2019-0043485-A1

**Publication Date:**02/07/2019

**NOTICE OF PUBLICATION OF APPLICATION**

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

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

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Public Records Division. The Public Records Division can be reached by telephone at (571) 272-3150 or (800) 972-6382, by facsimile at (571) 273-3250, by mail addressed to the United States Patent and Trademark Office, Public Records Division, Alexandria, VA 22313-1450 or via the Internet.

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

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

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101



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| APPLICATION NO.                                                    | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.              | CONFIRMATION NO. |
|--------------------------------------------------------------------|-------------|----------------------|----------------------------------|------------------|
| 16/058,722                                                         | 08/08/2018  | Guy Larri            | M0025.0369.US.D                  | 6370             |
| 24998                                                              | 7590        | 09/16/2019           |                                  |                  |
| Blank Rome LLP<br>1825 Eye Street, NW<br>Washington, DC 20006-5403 |             |                      | EXAMINER<br>MCFADDEN, SUSAN IRIS |                  |
|                                                                    |             |                      | ART UNIT                         | PAPER NUMBER     |
|                                                                    |             |                      | 2658                             |                  |
|                                                                    |             |                      | NOTIFICATION DATE                | DELIVERY MODE    |
|                                                                    |             |                      | 09/16/2019                       | 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):

WashingtonDocketing@blankrome.com



## **DETAILED ACTION**

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

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

### ***Priority***

Acknowledgment is made of applicant's claim for foreign priority based on an application filed in the United Kingdom on 9-14-04. It is noted, however, that applicant has not filed a certified copy of the United Kingdom application as required by 37 CFR 1.55.

### ***Specification***

The disclosure is objected to because of the following informalities: The Abstract is the same as US Patent Nos. 8,352,262 and 7,979,277.

Appropriate correction is required.

### ***Claim Rejections - 35 USC § 112***

1. 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.

2. Claims 8 and 9 are 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. In regard to claim 8, the Specification does not discuss a first and second vector or how they may be send over the interface. In regard to claim 9, the Specification does not show the feature of initiating a speech recognition word search using one or more distances calculated by said acoustic coprocessor in response to receiving a first feature vector, and wherein the time period taken for said speech recognition word search overlaps the time period taken for said acoustic coprocessor to calculate one or more distances in response to receiving a second feature vector.

### ***Double Patenting***

1. 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(I)(1) - 706.02(I)(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](http://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](http://www.uspto.gov/patents/process/file/efs/guidance/eTD-info-I.jsp).

1. Claims 1-7 are rejected on the ground of nonstatutory double patenting as being unpatentable over claim 1 of U.S. Patent No. 8,352,262. Although the claims at issue are not identical, they are not patentably distinct from each other because they both claim a device comprising: an interface for receiving at least one feature vector;

a calculating apparatus for calculating distances indicating the similarity between said at least one feature vector and at least one acoustic state of an acoustic model read from an acoustic model memory; and an interface for sending at least one distance calculated by the calculating apparatus; wherein said calculating apparatus and said acoustic model memory are fabricated on a single integrated circuit.

Claim 1 of the instant application is similar to claim 1 of US Patent No. 8,352,262.

Claim 2 of the instant application is similar to claim 1 of US Patent No. 8,352,262. An acoustic model inherently can be a Gaussian model and contain distance probabilities.

Claim 3 of the instant application is similar to claim 1 of US Patent No. 8,352,262. A memory could inherently be a FLASH memory.

Claim 4 of the instant application is similar to claim 1 of US Patent No. 8,352,262. A processor inherently contains serial buses which can transmit any data including distances.

Claim 5 of the instant application is similar to claim 1 of US Patent No. 8,352,262. A distance is calculated, which inherently could be Mahalanobis Distances, which are generally used in Gaussian/Acoustic models.

Claims 6 and 7 of the instant application are similar to claim 1 of US Patent No. 8,352,262. Distances are autonomously calculated for every acoustic state (para 26) which can be stored in memory (para 198).

2. Claims 1-7 are rejected on the ground of nonstatutory double patenting as being unpatentable over claim 1 of U.S. Patent No. 7,979,277. Although the claims at issue

are not identical, they are not patentably distinct from each other because they both claim a device comprising: an interface for receiving at least one feature vector; a calculating apparatus for calculating distances indicating the similarity between said at least one feature vector and at least one acoustic state of an acoustic model read from an acoustic model memory; and an interface for sending at least one distance calculated by the calculating apparatus; wherein said calculating apparatus and said acoustic model memory are fabricated on a single integrated circuit.

Claim 1 of the instant application is similar to claim 1 of US Patent No. 7,979,277.

Claim 2 of the instant application is similar to claim 1 of US Patent No. 7,979,277. An acoustic model inherently can be a Gaussian model and contain distance probabilities.

Claim 3 of the instant application is similar to claim 1 of US Patent No. 7,979,277. A memory could inherently be a FLASH memory.

Claim 4 of the instant application is similar to claim 1 of US Patent No. 7,979,277. A processor inherently contains serial buses which can transmit any data including distances.

Claim 5 of the instant application is similar to claim 1 of US Patent No. 7,979,277. A distance is calculated, which inherently could be Mahalanobis Distances, which are generally used in Gaussian/Acoustic models.

Claims 6 and 7 of the instant application are similar to claim 1 of US Patent No. 7,979,277. Distances are autonomously calculated for every acoustic state (para 26), which can be stored in memory (para 198).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to SUSAN IRIS MCFADDEN whose telephone number is (571)272-7621. The examiner can normally be reached on Monday-Friday; 9:30-6 PM ESTm.

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, Richemond Dorvil can be reached on 5712727641. 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.

/SUSAN I MCFADDEN/  
Primary Examiner, Art Unit 2658  
September 10, 2019

|                                          |                                       |                                                            |             |
|------------------------------------------|---------------------------------------|------------------------------------------------------------|-------------|
| <b><i>Notice of References Cited</i></b> | Application/Control No.<br>16/058,722 | Applicant(s)/Patent Under<br>Reexamination<br>Larri et al. |             |
|                                          | Examiner<br>SUSAN I MCFADDEN          | Art Unit<br>2658                                           | Page 1 of 1 |

**U.S. PATENT DOCUMENTS**

| * |   | Document Number<br>Country Code-Number-Kind Code | Date<br>MM-YYYY | Name       | CPC Classification | US Classification |
|---|---|--------------------------------------------------|-----------------|------------|--------------------|-------------------|
| * | A | US-10062377-B2                                   | 08-2018         | Larri; Guy | G10L15/10          | 1/1               |
| * | B | US-8352262-B2                                    | 01-2013         | Larri; Guy | G10L15/10          | 704/238           |
| * | C | US-7979277-B2                                    | 07-2011         | Larri; Guy | G10L15/10          | 704/238           |
|   | D |                                                  |                 |            |                    |                   |
|   | E |                                                  |                 |            |                    |                   |
|   | F |                                                  |                 |            |                    |                   |
|   | G |                                                  |                 |            |                    |                   |
|   | H |                                                  |                 |            |                    |                   |
|   | I |                                                  |                 |            |                    |                   |
|   | J |                                                  |                 |            |                    |                   |
|   | K |                                                  |                 |            |                    |                   |
|   | L |                                                  |                 |            |                    |                   |
|   | M |                                                  |                 |            |                    |                   |

**FOREIGN PATENT DOCUMENTS**

| * |   | Document Number<br>Country Code-Number-Kind Code | Date<br>MM-YYYY | Country | Name | CPC Classification |
|---|---|--------------------------------------------------|-----------------|---------|------|--------------------|
|   | N |                                                  |                 |         |      |                    |
|   | O |                                                  |                 |         |      |                    |
|   | P |                                                  |                 |         |      |                    |
|   | Q |                                                  |                 |         |      |                    |
|   | R |                                                  |                 |         |      |                    |
|   | S |                                                  |                 |         |      |                    |
|   | T |                                                  |                 |         |      |                    |

**NON-PATENT DOCUMENTS**

| * |   | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
|---|---|-------------------------------------------------------------------------------------------|
|   | U |                                                                                           |
|   | V |                                                                                           |
|   | W |                                                                                           |
|   | X |                                                                                           |

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.



|                                                                                                          |                                              |                                                                |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------|----------------------------------------------------------------|
| <b>Search Notes</b><br> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent Under Reexamination</b><br>Larri et al. |
|                                                                                                          | <b>Examiner</b><br>SUSAN I MCFADDEN          | <b>Art Unit</b><br>2658                                        |

|                        |             |                 |
|------------------------|-------------|-----------------|
| <b>CPC - Searched*</b> |             |                 |
| <b>Symbol</b>          | <b>Date</b> | <b>Examiner</b> |
| G10L 15/10             | 09/10/2019  | SM              |

|                                         |             |                 |
|-----------------------------------------|-------------|-----------------|
| <b>CPC Combination Sets - Searched*</b> |             |                 |
| <b>Symbol</b>                           | <b>Date</b> | <b>Examiner</b> |
|                                         |             |                 |

|                                      |                 |             |                 |
|--------------------------------------|-----------------|-------------|-----------------|
| <b>US Classification - Searched*</b> |                 |             |                 |
| <b>Class</b>                         | <b>Subclass</b> | <b>Date</b> | <b>Examiner</b> |
| 704                                  | 251             | 09/10/2019  | SM              |

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

|                     |             |                 |
|---------------------|-------------|-----------------|
| <b>Search Notes</b> |             |                 |
| <b>Search Notes</b> | <b>Date</b> | <b>Examiner</b> |
| Searched WEST       | 09/10/2019  | SM              |

|                            |                              |             |                 |
|----------------------------|------------------------------|-------------|-----------------|
| <b>Interference Search</b> |                              |             |                 |
| <b>US Class/CPC Symbol</b> | <b>US Subclass/CPC Group</b> | <b>Date</b> | <b>Examiner</b> |
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(Based on PTO 10-07 version)

|                                                                                                                                              |                  |    |   |                          |                       |
|----------------------------------------------------------------------------------------------------------------------------------------------|------------------|----|---|--------------------------|-----------------------|
| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |                  |    |   | <b>Complete if Known</b> |                       |
|                                                                                                                                              |                  |    |   | Application Number       | Not Yet Assigned      |
|                                                                                                                                              |                  |    |   | Filing Date              | Concurrently Herewith |
|                                                                                                                                              |                  |    |   | First Named Inventor     | Guy Larri             |
|                                                                                                                                              |                  |    |   | Art Unit                 | N/A                   |
| Examiner Name                                                                                                                                | Not Yet Assigned |    |   |                          |                       |
| Attorney Docket Number                                                                                                                       | M0025.0369.US.D  |    |   |                          |                       |
| Sheet                                                                                                                                        | 1                | of | 1 |                          |                       |

| U.S. PATENT DOCUMENTS |                       |                                          |                                |                                                    |                                                                                 |
|-----------------------|-----------------------|------------------------------------------|--------------------------------|----------------------------------------------------|---------------------------------------------------------------------------------|
| Examiner Initials*    | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                       | Number-Kind Code <sup>2</sup> (if known) |                                |                                                    |                                                                                 |
| **                    | AA                    | 5,881,312                                | 03-1999                        | Dulong                                             |                                                                                 |
| **                    | AB                    | 7,328,153                                | 02-2008                        | Wells et al.                                       |                                                                                 |
| **                    | AC                    | 2004/0111264 A1                          | 06-2004                        | Wang et al.                                        |                                                                                 |
| **                    | AD                    | 2003/0061046 A1                          | 03-2003                        | Zhao et al.                                        |                                                                                 |
| **                    | AE                    | 6,374,220                                | 04-2002                        | Kao                                                |                                                                                 |
| **                    | AF                    | 9,076,441                                | 07-2015                        | Larri et al.                                       |                                                                                 |
| **                    | AG                    | 8,352,262                                | 01-2013                        | Larri et al.                                       |                                                                                 |
| **                    | AH                    | 7,979,277                                | 07-2011                        | Larri et al.                                       |                                                                                 |
| **                    | AI                    | 8,036,890                                | 10-2011                        | Catchpole                                          |                                                                                 |
| **                    | AJ                    | 8,612,227                                | 12-2013                        | Kato                                               |                                                                                 |

| FOREIGN PATENT DOCUMENTS |                       |                                                                                   |                                |                                                    |                                                                                 |                |
|--------------------------|-----------------------|-----------------------------------------------------------------------------------|--------------------------------|----------------------------------------------------|---------------------------------------------------------------------------------|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document                                                           | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>3</sup> |
|                          |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |                                                    |                                                                                 |                |
| **                       | BA                    | GB 2 391 679 A                                                                    | 02-2004                        |                                                    |                                                                                 |                |
| **                       | BB                    | EP 1 178 466 A2                                                                   | 02-2002                        |                                                    |                                                                                 |                |
| **                       | BC                    | WO 01/75862 A2                                                                    | 10-2001                        |                                                    |                                                                                 |                |
| **                       | BD                    | WO 01/48737 A2                                                                    | 07-2001                        |                                                    |                                                                                 |                |
| **                       | BE                    | GB 2 333 172 A                                                                    | 07-1999                        |                                                    |                                                                                 |                |
| **                       | BF                    | WO 03/067572 A2                                                                   | 08-2003                        |                                                    |                                                                                 |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

| NON PATENT LITERATURE DOCUMENTS |                       |                                                                                                                                                                                                                                                                 |                |
|---------------------------------|-----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | 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, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
| **                              | CA                    | Gliniski et al., "Spoken Language Recognition on DSP Array Processor" IEEE Transactions on Parallel and Distributed Systems, Vol. 5, No. 7, pp. 697-703, July 1, 1994.                                                                                          |                |
| **                              | CB                    | S. Chatterjee et al., "Connected Speech Recognition on a Multiple Processor Pipeline." ICASSP 89, pp. 774-777, May 23, 1989.                                                                                                                                    |                |

|                    |                                 |                 |            |
|--------------------|---------------------------------|-----------------|------------|
| Examiner Signature | /SUSAN I MCFADDEN/ (09/09/2019) | Date Considered | 09/09/2019 |
|--------------------|---------------------------------|-----------------|------------|

200494.00239/110050436

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.I.M/

## Bibliographic Data

Application No: 16/058,722

Foreign Priority claimed: ☒ Yes ☐ No

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

Verified and Acknowledged: /SUSAN I MCFADDEN/

Examiner's Signature

Initials

Title: SPEECH RECOGNITION CIRCUIT AND METHOD

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| FILING or 371(c) DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET NO. |
|-----------------------|-------|----------------|---------------------|
| 08/08/2018            | 704   | 2658           |                     |
| RULE                  |       |                |                     |

### APPLICANTS

Zentian Limited, Cambridge, UNITED KINGDOM

### INVENTORS

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Mark Catchpole Cambridge, UNITED KINGDOM

Damian Kelly Harris-Dowsett Coventry, UNITED KINGDOM

Timothy Brian Reynolds Cambridge, UNITED KINGDOM

### CONTINUING DATA

This application is a DIV of 14788164 06/30/2015 PAT 10062377

14788164 is a CON of 13735091 01/07/2013 PAT 9076441

13735091 is a CON of 13162128 06/16/2011 PAT 8352262

13162128 is a DIV of 11662704 03/14/2007 PAT 7979277

11662704 is a 371 of PCT/GB2005/003554 09/14/2005

### FOREIGN APPLICATIONS

UNITED KINGDOM 0420464.0 09/14/2004

### IF REQUIRED, FOREIGN LICENSE GRANTED\*\*

08/24/2018

\*\* SMALL ENTITY \*\*

### STATE OR COUNTRY

UNITED KINGDOM

### ADDRESS

### FILING FEE RECEIVED

\$785

## WEST Search History for Application 16058722

Creation Date: 2019091015:31

### Prior Art Searches

| Query                                                                                                                  | DB   | Hits | Op. | Plur. | Thes. | Date       |
|------------------------------------------------------------------------------------------------------------------------|------|------|-----|-------|-------|------------|
| larri.in.                                                                                                              | USPT | 34   | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic                                                                                                 | USPT | 5    | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic and distance                                                                                    | USPT | 4    | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic and distance and similarity                                                                     | USPT | 4    | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic and distance and similarity and vector                                                          | USPT | 4    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm.                                                   | USPT | 3    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm. and circuit                                       | USPT | 3    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm. and circuit and coprocessor                       | USPT | 0    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm. and circuit and coprocessor                       | PGPB | 1    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm. and circuit and speech near recognition           | USPT | 3    | OR  | YES   |       | 09-09-2019 |
| larri.in. and integrated near4 circuit                                                                                 | USPT | 10   | OR  | YES   |       | 09-10-2019 |
| larri.in. and integrated near4 circuit and acoustic                                                                    | USPT | 4    | OR  | YES   |       | 09-10-2019 |
| larri.in. and integrated near4 circuit and acoustic and distances                                                      | USPT | 4    | OR  | YES   |       | 09-10-2019 |
| larri.in. and integrated near4 circuit and acoustic and distances and similarity                                       | USPT | 4    | OR  | YES   |       | 09-10-2019 |
| larri.in. and integrated near4 circuit and (acoustic and distances and similarity).clm.                                | USPT | 3    | OR  | YES   |       | 09-10-2019 |
| larri.in. and integrated near4 circuit and (acoustic and distances and similarity).clm. and acoustic near4 coprocessor | USPT | 0    | OR  | YES   |       | 09-10-2019 |
| larri.in. and integrated near4 circuit and (acoustic and distances and similarity and interface).clm.                  | USPT | 0    | OR  | YES   |       | 09-10-2019 |

|                                                                                                                                                           |      |        |    |     |  |            |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------|------|--------|----|-----|--|------------|
| larri.in. and integrated near4 circuit and (acoustic and distances and similarity and memory).clm.                                                        | USPT | 2      | OR | YES |  | 09-10-2019 |
| (acoustic and distances and similarity and memory).clm.                                                                                                   | USPT | 39     | OR | YES |  | 09-10-2019 |
| (acoustic and distances and similarity and memory and calculating).clm.                                                                                   | USPT | 15     | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating).clm.                                                                       | USPT | 4      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and interface).clm.                                                         | USPT | 1      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm.                                                           | USPT | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and circuit                                               | USPT | 2      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit                              | USPT | 2      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit                              | PGPB | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian                 | PGPB | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian                 | USPT | 2      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and overlaps                 | USPT | 0      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and overlaps                 | PGPB | 1      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and FLASH       | PGPB | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word search | PGPB | 628499 | OR | YES |  | 09-10-2019 |

|                                                                                                                                                                                                                    |      |   |    |     |  |            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|---|----|-----|--|------------|
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search                                                     | PGPB | 3 | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously                                    | PGPB | 0 | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously                                    | PGPB | 3 | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously                                    | USPT | 2 | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously and first near feature near vector | USPT | 0 | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously and first near feature near vector | PGPB | 1 | OR | YES |  | 09-10-2019 |

## TRANSMITTAL FOR POWER OF ATTORNEY TO ONE OR MORE REGISTERED PRACTITIONERS

NOTE: This form is to be submitted with the Power of Attorney by Applicant form (PTO/AIA/82B) to identify the application to which the Power of Attorney is directed, in accordance with 37 CFR 1.5, unless the application number and filing date are identified in the Power of Attorney by Applicant form. If neither form PTO/AIA/82A nor form PTO/AIA/82B identifies the application to which the Power of Attorney is directed, the Power of Attorney will not be recognized in the application.

|                        |                                       |
|------------------------|---------------------------------------|
| Application Number     | 16/058,722                            |
| Filing Date            | 08/08/2018                            |
| First Named Inventor   | Guy LARRI                             |
| Title                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| Art Unit               | 2658                                  |
| Examiner Name          | Susan Iris MCFADDEN                   |
| Attorney Docket Number | 15372.0002-00000                      |

### SIGNATURE of Applicant or Patent Practitioner

|                                                                                                                                                                                               |            |                     |               |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|---------------------|---------------|
| Signature                                                                                                                                                                                     | /Wei Yuan/ | Date (Optional)     | March 4, 2020 |
| Name                                                                                                                                                                                          | Wei Yuan   | Registration Number | 71772         |
| Title (if Applicant is a juristic entity)                                                                                                                                                     |            |                     |               |
| Applicant Name (if Applicant is a juristic entity)                                                                                                                                            |            |                     |               |
| <p><b>NOTE:</b> This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. If more than one applicant, use multiple forms.</p> |            |                     |               |
| <input checked="" type="checkbox"/> *Total of <u>1</u> forms are submitted.                                                                                                                   |            |                     |               |

This collection of information is required by 37 CFR 1.131, 1.32, and 1.33. 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 3 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.*

Doc Code: PA...  
Document Description: Power of Attorney

PTO/AIA/82B (07-13)  
Approved for use through 01/31/2018, OMB 0551-0038  
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

## POWER OF ATTORNEY BY APPLICANT

I hereby revoke all previous powers of attorney given in the application identified in either the attached transmittal letter or the boxes below:

Application Number

Filing Date

(Note: The boxes above may be left blank if information is provided on form PTO/AIA/82A.)

☒ I hereby appoint the Patent Practitioner(s) associated with the following Customer Number as my/our attorney(s) or agent(s), and to transact all business in the United States Patent and Trademark Office connected therewith for the application referenced in the attached transmittal letter (form PTO/AIA/82A) or identified above:

22852

OR

☐ I hereby appoint Practitioner(s) named in the attached list (form PTO/AIA/82C) as my/our attorney(s) or agent(s), and to transact all business in the United States Patent and Trademark Office connected therewith for the patent application referenced in the attached transmittal letter (form PTO/AIA/82A) or identified above. (Note: Complete form PTO/AIA/82C.)

Please recognize or change the correspondence address for the application identified in the attached transmittal letter or the boxes above to:

☒ The address associated with the above-mentioned Customer Number

OR

☐ The address associated with Customer Number:

OR

☐ Firm or Individual Name

Address

City

State

Zip

Country

Telephone

Email

I am the Applicant (if the Applicant is a juristic entity, list the Applicant name in the box):

☐ 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)

☐ Person Who Otherwise Shows Sufficient Proprietary Interest (e.g., a petition under 37 CFR 1.48(b)(2) was granted in the application or is concurrently being filed with this document) (provide signer's title if applicant is a juristic entity)

### SIGNATURE of Applicant for Patent

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

Date (Optional)

28 FEBRUARY 2020

Name

GUY LARRIE

Title

Zentian Limited DIRECTOR

**NOTE:** Signature - This form must be signed by the applicant in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. If more than one applicant, use multiple forms.

☒ Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.131, 1.32, and 1.33. 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 3 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.

| Electronic Acknowledgement Receipt          |                                       |
|---------------------------------------------|---------------------------------------|
| <b>EFS ID:</b>                              | 38767119                              |
| <b>Application Number:</b>                  | 16058722                              |
| <b>International Application Number:</b>    |                                       |
| <b>Confirmation Number:</b>                 | 6370                                  |
| <b>Title of Invention:</b>                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| <b>First Named Inventor/Applicant Name:</b> | Guy Larri                             |
| <b>Customer Number:</b>                     | 24998                                 |
| <b>Filer:</b>                               | Wei Yuan/Marthe Drake                 |
| <b>Filer Authorized By:</b>                 | Wei Yuan                              |
| <b>Attorney Docket Number:</b>              | M0025.0369.US.D                       |
| <b>Receipt Date:</b>                        | 04-MAR-2020                           |
| <b>Filing Date:</b>                         | 08-AUG-2018                           |
| <b>Time Stamp:</b>                          | 14:11:19                              |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)           |

### Payment information:

|                        |    |
|------------------------|----|
| Submitted with Payment | no |
|------------------------|----|

### File Listing:

| Document Number | Document Description | File Name                                   | File Size(Bytes)/<br>Message Digest                 | Multi Part /.zip | Pages (if appl.) |
|-----------------|----------------------|---------------------------------------------|-----------------------------------------------------|------------------|------------------|
| 1               | Power of Attorney    | As_Filed_POA_and_Transmittal_15372_0002.pdf | 1639819<br>02557d65e22d5e82855fc4b90997bc35dac32709 | no               | 2                |

### Warnings:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |         |
| <b>Total Files Size (in bytes):</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | 1639819 |
| <p>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.</p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b><br/> 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.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b><br/> 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.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b><br/> 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.</p> |         |



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UNITED STATES DEPARTMENT OF COMMERCE  
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Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
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www.uspto.gov

| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-----------------------|-----------------------|------------------------|
| 16/058,722         | 08/08/2018            | Guy Larri             | M0025.0369.US.D        |

**CONFIRMATION NO. 6370**

**POA ACCEPTANCE LETTER**

22852  
FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER  
LLP  
901 NEW YORK AVENUE, NW  
WASHINGTON, DC 20001-4413



OC000000115272557

Date Mailed: 03/10/2020

**NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY**

This is in response to the Power of Attorney filed 03/04/2020.

The Power of Attorney in this application is accepted. Correspondence in this application will be mailed to the above address as provided by 37 CFR 1.33.

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at (571) 272-4000 or (571) 272-4200 or 1-888-786-0101.

/sleutchit/



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| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-----------------------|-----------------------|------------------------|
| 16/058,722         | 08/08/2018            | Guy Larri             | M0025.0369.US.D        |

24998  
Blank Rome LLP  
1825 Eye Street, NW  
Washington, DC 20006-5403

**CONFIRMATION NO. 6370**  
**POWER OF ATTORNEY NOTICE**



OC000000115272499

Date Mailed: 03/10/2020

**NOTICE REGARDING CHANGE OF POWER OF ATTORNEY**

This is in response to the Power of Attorney filed 03/04/2020.

- The Power of Attorney to you in this application has been revoked by the applicant. Future correspondence will be mailed to the new address of record(37 CFR 1.33).

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at (571) 272-4000 or (571) 272-4200 or 1-888-786-0101.

/sleutchit/

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                             |   |                               |
|-----------------------------|---|-------------------------------|
| In re Application of:       | ) |                               |
|                             | ) |                               |
| Guy LARRI et al.            | ) | Group Art Unit: 2658          |
|                             | ) |                               |
| Application No.: 16/058,722 | ) | Examiner: Susan Iris MCFADDEN |
|                             | ) |                               |
| Filed: August 8, 2018       | ) | Confirmation No.: 6370        |
|                             | ) |                               |
| For: SPEECH RECOGNITION     | ) | <b><i>Via EFS-Web</i></b>     |
| CIRCUIT AND METHOD          | ) |                               |

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

Dear Commissioner:

**AMENDMENT**

In reply to the Office Action dated September 16, 2019, the period for response having been extended through March 16, 2020 by a petition for a three-month extension and extension fees, Applicant respectfully requests reconsideration of this application in view of the following:

**Amendments to the Specification** begin on page 2 of this paper.

**Amendments to the Claims** are reflected in the listing of the claims that begins on page 3 of this paper.

**Remarks** begin on page 11 of this paper.

**Amendments to the Specification:**

Please replace the abstract with the following new Abstract. The new Abstract is also provided on a separate sheet.

**ABSTRACT**

An acoustic coprocessor is provided. The acoustic coprocessor may include an interface for receiving at least one feature vector and a calculating apparatus for calculating distances indicating the similarity between the at least one feature vector and at least one acoustic state of an acoustic model read from an acoustic model memory. The acoustic coprocessor may also include an interface for sending at least one distance calculated by the calculating apparatus.

**Amendments to the Claims:**

This listing of claims will replace all prior versions and listings of claims in the application:

1. (Currently Amended) An acoustic coprocessor for processing data associated with an audio signal, comprising:

[[an]] a first interface for receiving at least one feature vector, wherein the feature vector is determined from the audio signal;

an acoustic model memory for storing an acoustic model defining a plurality of acoustic states;

a calculating apparatus for calculating distances indicating [[the]] a similarity between [[said]] the at least one feature vector and ~~at least one~~ respective acoustic states of [[an]] the acoustic model read from [[an]] the acoustic model memory; and

[[an]] a second interface for sending at least one distance calculated by the calculating apparatus;

wherein [[said]] the calculating apparatus and [[said]] the acoustic model memory are fabricated on a single integrated circuit.

2. (Currently Amended) The acoustic coprocessor of claim 1, wherein [[said]] the acoustic model contains Gaussian parameters and the distances are probabilities.

3. (Currently Amended) The acoustic coprocessor of claim 2, wherein [[said]] the acoustic model memory is a FLASH memory.

4. (Currently Amended) The acoustic coprocessor of claim ~~[[3]]~~ 2, wherein ~~[[said]]~~ the second interface for sending distances is a serial bus.
5. (Currently Amended) The acoustic coprocessor of claim 4, wherein at least one of the distances sent over the serial bus ~~[[are]]~~ is a Mahalanobis Distance ~~Distances~~.
6. (Currently Amended) The acoustic coprocessor of claim 4, wherein the acoustic coprocessor, in response to receiving a feature vector, autonomously calculates ~~[[said]]~~ the distance for ~~[[every]]~~ an associated acoustic state of ~~[[said]]~~ the acoustic model.
7. (Currently Amended) The acoustic coprocessor of claim 6, further comprising ~~one or more~~ a result ~~memories and~~ memory, wherein ~~[[said]]~~ the distance for ~~[[every]]~~ an associated acoustic state of ~~[[said]]~~ the acoustic model ~~[[are]]~~ is stored in ~~[[said]]~~ the one or more result ~~memories~~ memory.
8. (Currently Amended) The acoustic coprocessor of claim 7, wherein ~~[[said]]~~ the one or more result ~~memories are~~ memory is configured so that distances calculated from a first feature vector ~~may be~~ are sent over the second interface for sending while at least one distance calculated from a second feature vector is being stored in the ~~[[said]]~~ one or more result memories.

9. (Currently Amended) A speech recognition system comprising the acoustic coprocessor of claim [[8]] 7, the speech recognition system and further comprising at least one CPU, wherein:

[[said]] the CPU executes software which performs or initiates to perform or initiate a speech recognition word search using ~~one or more~~ the distances calculated by [[said]] the acoustic coprocessor in response to receiving [[a]] the first feature vector, and

~~wherein the~~ a time period taken for [[said]] the speech recognition word search overlaps [[the]] a time period taken for [[said]] the acoustic coprocessor to calculate ~~one or more distances~~ the distance in response to receiving [[a]] the second feature vector.

10. (New) An acoustic coprocessor, comprising:

a first interface for receiving at least one feature vector;

a calculating apparatus for calculating distances indicating a similarity between the at least one feature vector and at least one acoustic state of an acoustic model read from an acoustic model memory; and

a second interface for sending at least one distance calculated by the calculating apparatus.

11. (New) The acoustic coprocessor of claim 10, wherein the calculating apparatus and the acoustic model memory are fabricated on a single integrated circuit.

12. (New) The acoustic coprocessor of claim 10, wherein the acoustic model contains Gaussian parameters and the distances are probabilities.

13. (New) The acoustic coprocessor of claim 10, wherein the acoustic model memory is a FLASH memory.

14. (New) The acoustic coprocessor of claim 10, wherein the second interface for sending distances is a serial bus.

15. (New) The acoustic coprocessor of claim 10, wherein the distances are Mahalanobis Distances.

16. (New) A speech recognition system comprising the acoustic coprocessor of claim 10, the speech recognition system further comprising at least one CPU, wherein:

the CPU executes software to perform or initiate a speech recognition word search using one or more distances calculated by the acoustic coprocessor in response to receiving a first feature vector, and

a time period for the speech recognition word search overlaps with a time period for the acoustic coprocessor to calculate one or more distances in response to receiving a second feature vector.

17. (New) The acoustic coprocessor of claim 10, wherein the acoustic coprocessor is capable of, in response to receiving a feature vector, autonomously calculating the distances for each acoustic state of the acoustic model.

18. (New) The acoustic coprocessor of claim 17, further comprising one or more result memories configured to store the distances for each acoustic state of the acoustic model.

19. (New) The acoustic coprocessor of claim 18, wherein the one or more result memories are configured so that a distance calculated from a first feature vector are sent over the first interface while a distance calculated from a second feature vector is being stored in the one or more result memories.

20. (New) The acoustic coprocessor of claim 18, wherein the calculating apparatus is capable of computing distances using acoustic models representing Gaussian probability distributions.

21. (New) The acoustic coprocessor of claim 20, wherein the acoustic model uses a neural network to calculate at least one of the distances.

22. (New) The acoustic coprocessor of claim 21, wherein the acoustic coprocessor is capable of generating an interrupt in response to a completion of calculation of a set of distances.

23. (New) The acoustic coprocessor of claim 22, wherein the acoustic model memory includes a plurality of storage locations within a static random access memory (SRAM).

24. (New) The acoustic coprocessor of claim 23, wherein the SRAM and the calculating apparatus are fabricated on a single integrated circuit.

25. (New) The acoustic coprocessor of claim 22, further comprising a status register, wherein the acoustic coprocessor is capable of setting one or more bits in the status register to values that indicate the completion of calculation of the set of distances.

26. (New) The acoustic coprocessor of claim 25, wherein the acoustic coprocessor further comprises a direct memory access (DMA) controller capable of copying distances from the one or more result memories to a buffer memory.

27. (New) The acoustic coprocessor of claim 26, wherein the DMA controller is capable of copying distances in a plurality of sequential bursts.

28. (New) A speech recognition system comprising the acoustic coprocessor of claim 26, wherein:

the speech recognition system further comprises at least one processor configured to execute software to perform or initiate a speech recognition word search

using one or more distances calculated by the acoustic coprocessor in response to receiving a first feature vector, and

a time period for the speech recognition word search overlaps with a time period for the acoustic coprocessor to calculate one or more distances in response to receiving a second feature vector.

29. (New) The speech recognition system of claim 28, wherein the acoustic coprocessor and the at least one processor are fabricated on a single integrated circuit.

30. (New) The acoustic coprocessor of claim 26, wherein the acoustic coprocessor further comprises a decompressor configured to decompress the acoustic model and send the decompressed acoustic model to the calculating apparatus.

31. (New) The acoustic coprocessor of claim 26, wherein the acoustic coprocessor is capable of setting one or more bits in the status register to values that represent an error condition when a check code stored with the acoustic model fails to match a check code computed from data read from the acoustic model memory.

32. (New) The acoustic coprocessor of claim 26, wherein the second interface an industry standard interface.

33. (New) The acoustic coprocessor of claim 26, wherein the acoustic model includes parameters represented with fixed point data.

34. (New) The acoustic coprocessor of claim 26, wherein the acoustic model includes parameters represented with floating-point data.

35. (New) The acoustic coprocessor of claims 26, wherein the acoustic model includes parameters represented with integer data.

36. (New) The acoustic coprocessor of claim 33 wherein data read from the acoustic model memory is decompressed by sign or zero extension or other conversion of data of narrow or variable width to a wider data format.

37. (New) A speech recognition system comprising the acoustic coprocessor of claim 27, the speech recognition system further comprising at least one microphone.

38. (New) A speech recognition system comprising the acoustic coprocessor of claim 27, the speech recognition system further comprising a plurality of microphones.

39. (New) The speech recognition system of claim 38, further comprising the buffer memory.

40. (New) The speech recognition system of claim 39, further comprising a push-to-dictate button.

41. (New) A vehicle comprising the speech recognition system of claim 39.
42. (New) A laptop or tablet personal computer comprising the speech recognition system of claim 39.
43. (New) A mobile phone comprising the speech recognition system of claim 39.
44. (New) An electronic entertainment product comprising the speech recognition system of claim 39.
45. (New) An appliance comprising the speech recognition system of claim 39.

**REMARKS**

**I. Status of the Claims**

In the Office Action dated September 16, 2019 (the "Office Action"),<sup>1</sup> the Examiner took the following actions:

- i. asserted that Applicant has not filed a certified copy of United Kingdom Application No. 0420464.0 to which the instant application claims priority;
- ii. objected to the Abstract due to alleged informalities;
- iii. rejected claims 8 and 9 under 35 U.S.C. § 112(a) as allegedly failing to comply with the written description requirement;
- iv. rejected claims 1-7 on the ground of double patenting as allegedly unpatentable over U.S. Patent No. 8,352,262 ("the '262 Patent"); and
- v. rejected claims 1-7 on the ground of double patenting as allegedly unpatentable over U.S. Patent No. 7,979,277 ("the '277 Patent").

By this Amendment, Applicant amends claims 1-9 to improve claim form.

Applicant also adds new claims 10-45. No new subject matter has been added. Support for the amendments can be found in the specification as filed. *See, e.g.*, U.S. Patent Application Publication No. 2019/0043485 A1 (the "Published Application"), Figure 17, paragraphs [0022], [0025], [0028], [0030], [0031], [0171], [0174], [0176], [0192], [0199], [0200], [0218], [0267], [0277], [0281], [0284], [0285], [0286], [0301], [0302], [0304], [0306], [0311]-[0323], [0320], [0338], [0339], and [0340]. Claims 1-44 are pending, of which claims 1 and 10 are independent.

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<sup>1</sup> The Office Action contains a number of statements reflecting characterizations of the related art and the claims. Regardless of whether any such statement is identified herein, Applicant declines to automatically subscribe to any statement or characterization in the Office Action.

In view of the above amendments and following remarks, Applicant respectfully requests reconsideration and withdrawal of the objection and rejections, and the timely allowance of the pending claims.

## **II. Certified Copy of Priority Document**

The Office alleged that Applicant has not filed a certified copy of United Kingdom Application No. 0420464.0, as required by 37 C.F.R. § 1.55. Office Action, p. 2. This is incorrect.

Specifically, Applicant duly and timely filed a certified copy of United Kingdom Application No. 0420464.0 in International Application No. PCT/GB2005/003554 to which the instant application claims priority through a series of U.S. applications. Accordingly, Applicant has satisfied the requirements set forth in 37 C.F.R. § 1.55. 37 C.F.R. § 1.55(f)(2). Indeed, in a Requirement for Restriction dated May 6, 2010 (the “May 6, 2010 Restriction Requirement”) issued in one of this Application’s parent applications, U.S. Application No. 11/662,704, the Office noted that “Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). All . . . [c]ertified copies of the priority documents have been received.” May 6, 2010 Restriction Requirement, p. 1.

Applicant respectfully requests that an acknowledgment by the Office be made in the next action that all the certified copies of the priority documents have been received.

## **III. Objection to the Abstract**

Applicant respectfully traverses the objection to the Abstract for the alleged informalities. Nevertheless, without acquiescing to the objection, and solely to advance prosecution, Applicant has amended the Abstract. Applicant also submits the new

Abstract with a replacement sheet. In view of the amendments, Applicant respectfully requests withdrawal of the objection to the Abstract.

#### **IV. Double Patenting Claim Rejection**

Applicant respectfully traverses the rejections of claims 1-7 on the ground of double patenting as allegedly unpatentable over the '262 Patent<sup>2</sup> and the '277 Patent. Nevertheless, without acquiescing to the rejections, and solely to advance prosecution, Applicant herein submits terminal disclaimers with respect to the '262 Patent and the '277 Patent, thereby obviating the double patenting rejections.

Applicant respectfully requests the withdrawal of the double patenting rejections of claims 1-7.

#### **V. Claim Rejection Under 35 U.S.C. § 112**

Applicant respectfully traverses the rejection of claims 8 and 9 under 35 U.S.C. § 112(a) as allegedly failing to comply with the written description requirement. The originally-filed application has sufficient support for claims 8 and 9.

The Office alleged that “the Specification does not discuss a first and second vector or how they may be sen[t] over the interface.” Applicant respectfully disagrees; Applicant’s specification has sufficient support for these features recited in claim 8.

For example, as illustrated in Figure 18, the application describes an embodiment in which the distances of multiple feature vectors (e.g., FV1, FV2, FV3, FV4, FV5) are calculated and stored in two memories (e.g., mem A and mem B).

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<sup>2</sup> With regard to the '262 Patent, Applicant notes that during prosecution of this Application’s parent application, U.S. Application Serial No. 14/788,164, the Office mistakenly indicated that the '262 Patent and related U.S. Patent 9,076,441 were “prior art of record.” See Office Action of Sept. 30, 2016 of '164 Application. Because neither the '262 Patent nor the '441 Patent is prior art, Applicant notes that this was an obvious error. If the Office concludes otherwise, however, Applicant respectfully asks that the Office identify its basis in the next Office Action.

Specifically, the two memories are configured so that distances calculated from a first feature vector (e.g., FV1) are sent over bus 211 (the “interface”; *see, e.g.*, Published Application, FIG. 17, ¶ [0189]) for the search stage of data frame 1, while at least one distance calculated from a second feature vector (e.g., FV2) is being stored in the one or more result memories (e.g., mem B). *See also*, Published Application, ¶¶ [0203]-[0206], FIGs. 19-23. Accordingly, the as-filed application does have sufficient support for claim 8.

Moreover, the Office alleged that “the Specification does not show the feature of initiating a speech recognition word search using one or more distances calculated by said acoustic coprocessor in response to receiving a first feature vector, and wherein the time period taken for said speech recognition word search overlaps the time period taken for said acoustic coprocessor to calculate one or more distances in response to receiving a second feature vector.” Applicant also respectfully disagrees.

For example, as explained above, the application describes an embodiment in which the distances of multiple feature vectors (e.g., FV1, FV2, FV3, FV4, FV5) are calculated and stored in two memories (e.g., mem A and mem B). *See, e.g.*, Published Application, FIG. 18, ¶¶ [0203]-[0206]. Moreover, the Specification provides that “[w]hen the CPU is **performing the search stage for frame n, the Accelerator is computing the distances for frame n+1**, and the DSP is performing the front-end stage for frame n+2.” Published Publication, ¶ [0206] (emphasis added); *see also* FIG. 18 (illustrating that the time period for “Search Stage for data frame 1 using dists(FV1)” overlaps with the time period for “Calc all dist. for FV2”). Accordingly, Applicant’s as-filed application has sufficient support for claim 9.

In view of the foregoing, Applicant respectfully requests the rejection of claims 8 and 9 be withdrawn.

**VI. New Claims 10-44**

Applicant respectfully submits that new claims 10-44 are allowable for substantially the same reasons that claims 1-9 are allowable.

**CONCLUSION**

In view of the foregoing remarks and amendments, Applicant respectfully requests reconsideration of the application and the timely allowance of the pending claims.

Please grant any extensions of time required to enter this paper and charge any additional required fees to Deposit Account 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: March 16, 2020

By: /Wei Yuan/  
Wei Yuan  
Reg. No. 71,772  
(202) 408-4103

## **REPLACEMENT ABSTRACT**

68

### **ABSTRACT**

An acoustic coprocessor is provided. (New) The acoustic coprocessor may include an interface for receiving at least one feature vector and a calculating apparatus for calculating distances indicating the similarity between the at least one feature vector and at least one acoustic state of an acoustic model read from an acoustic model memory. (New) The acoustic coprocessor may also include an interface for sending at least one distance calculated by the calculating apparatus.

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| <b>TERMINAL DISCLAIMER TO OBTAIN A DOUBLE PATENTING<br/>REJECTION OVER A "PRIOR" PATENT</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Docket Number (Optional)<br>15372.0002-00000 |
| <p>In re Application of: Guy Larri</p> <p>Application No.: 16/058,722</p> <p>Filed: 08/08/2018</p> <p>For: SPEECH RECOGNITION CIRCUIT AND METHOD</p> <p>The applicant, <u>Zentian Limited</u>, owner of <u>100</u> percent interest 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 <b>prior patent</b> No. <u>8,352,262</u> as the term of said <b>prior patent</b> is presently shortened by any terminal disclaimer. The applicant hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the <b>prior patent</b> are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.</p> <p>In making the above disclaimer, the applicant 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 <b>prior patent</b>, "as the term of said <b>prior patent</b> is presently shortened by any terminal disclaimer," in the event that said <b>prior patent</b> later:</p> <ul style="list-style-type: none"><li>expires for failure to pay a maintenance fee;</li><li>is held unenforceable;</li><li>is found invalid by a court of competent jurisdiction;</li><li>is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321;</li><li>has all claims canceled by a reexamination certificate;</li><li>is reissued; or</li><li>is in any manner terminated prior to the expiration of its full statutory term as presently shortened by any terminal disclaimer.</li></ul> <p>Check either box 1 or 2 below, if appropriate.</p> <p>1. <input type="checkbox"/> The undersigned is the applicant. If the applicant is an assignee, the undersigned is authorized to act on behalf of the assignee.</p> <p>I hereby acknowledge that any willful false statements made are punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.</p> <p>2. <input checked="" type="checkbox"/> The undersigned is an attorney or agent of record. Reg. No. <u>71772</u></p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"><div style="width: 60%; text-align: center;"><u>/Wei Yuan/</u><br/>Signature</div><div style="width: 35%; text-align: center;"><u>March 16, 2020</u><br/>Date</div></div> <div style="display: flex; justify-content: center; margin-top: 10px;"><u>Wei Yuan</u><br/>Typed or printed name</div> <div style="display: flex; justify-content: space-between; margin-top: 20px;"><div style="width: 60%; text-align: center;"><u>Attorney of Record</u><br/>Title</div><div style="width: 35%; text-align: center;"><u>202-408-4103</u><br/>Telephone Number</div></div> <p><input checked="" type="checkbox"/> Terminal disclaimer fee under 37 CFR 1.20(d) included.</p> <p style="text-align: center; font-weight: bold;">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.</p> |                                              |

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5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public 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.

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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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1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                             |   |                               |
|-----------------------------|---|-------------------------------|
| In re Application of:       | ) |                               |
|                             | ) |                               |
| Guy LARRI et al.            | ) | Group Art Unit: 2658          |
|                             | ) |                               |
| Application No.: 16/058,722 | ) | Examiner: Susan Iris MCFADDEN |
|                             | ) |                               |
| Filed: August 8, 2018       | ) | Confirmation No.: 6370        |
|                             | ) |                               |
| For: SPEECH RECOGNITION     | ) | <b><i>Via EFS-Web</i></b>     |
| CIRCUIT AND METHOD          | ) |                               |

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

Dear Commissioner:

**PETITION FOR EXTENSION OF TIME**

Applicant petitions for a three-month extension of time to file a reply to the Non-Final Office Action dated September 16, 2019. A fee of \$700.00 (for a small entity) is enclosed.

Please grant any additional extensions of time required to enter the attached reply and charge any additional required fees to Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: March 16, 2020

By: /Wei Yuan/

Wei Yuan  
Reg. No. 71,772  
(202) 408-4103

| Electronic Patent Application Fee Transmittal      |                 |                                       |               |                             |
|----------------------------------------------------|-----------------|---------------------------------------|---------------|-----------------------------|
| <b>Application Number:</b>                         |                 | 16058722                              |               |                             |
| <b>Filing Date:</b>                                |                 | 08-Aug-2018                           |               |                             |
| <b>Title of Invention:</b>                         |                 | SPEECH RECOGNITION CIRCUIT AND METHOD |               |                             |
| <b>First Named Inventor/Applicant Name:</b>        |                 | Guy Larri                             |               |                             |
| <b>Filer:</b>                                      |                 | Wei Yuan/Donna Beckford               |               |                             |
| <b>Attorney Docket Number:</b>                     |                 | 15372.0002-00000                      |               |                             |
| Filed as Small Entity                              |                 |                                       |               |                             |
| <b>Filing Fees for Utility under 35 USC 111(a)</b> |                 |                                       |               |                             |
| <b>Description</b>                                 | <b>Fee Code</b> | <b>Quantity</b>                       | <b>Amount</b> | <b>Sub-Total in USD(\$)</b> |
| <b>Basic Filing:</b>                               |                 |                                       |               |                             |
| <b>Pages:</b>                                      |                 |                                       |               |                             |
| <b>Claims:</b>                                     |                 |                                       |               |                             |
| CLAIMS IN EXCESS OF 20                             | 2202            | 24                                    | 50            | 1200                        |
| <b>Miscellaneous-Filing:</b>                       |                 |                                       |               |                             |
| <b>Petition:</b>                                   |                 |                                       |               |                             |
| <b>Patent-Appeals-and-Interference:</b>            |                 |                                       |               |                             |
| <b>Post-Allowance-and-Post-Issuance:</b>           |                 |                                       |               |                             |

| Description                        | Fee Code | Quantity | Amount | Sub-Total in USD(\$) |
|------------------------------------|----------|----------|--------|----------------------|
| <b>Extension-of-Time:</b>          |          |          |        |                      |
| Extension - 3 months with \$0 paid | 2253     | 1        | 700    | 700                  |
| <b>Miscellaneous:</b>              |          |          |        |                      |
| <b>Total in USD (\$)</b>           |          |          |        | <b>1900</b>          |

| Electronic Acknowledgement Receipt          |                                       |
|---------------------------------------------|---------------------------------------|
| <b>EFS ID:</b>                              | 38881289                              |
| <b>Application Number:</b>                  | 16058722                              |
| <b>International Application Number:</b>    |                                       |
| <b>Confirmation Number:</b>                 | 6370                                  |
| <b>Title of Invention:</b>                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| <b>First Named Inventor/Applicant Name:</b> | Guy Larri                             |
| <b>Customer Number:</b>                     | 22852                                 |
| <b>Filer:</b>                               | Wei Yuan/Donna Beckford               |
| <b>Filer Authorized By:</b>                 | Wei Yuan                              |
| <b>Attorney Docket Number:</b>              | 15372.0002-00000                      |
| <b>Receipt Date:</b>                        | 16-MAR-2020                           |
| <b>Filing Date:</b>                         | 08-AUG-2018                           |
| <b>Time Stamp:</b>                          | 18:51:49                              |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)           |

### Payment information:

|                                                                                                                |                  |
|----------------------------------------------------------------------------------------------------------------|------------------|
| Submitted with Payment                                                                                         | yes              |
| Payment Type                                                                                                   | CARD             |
| Payment was successfully received in RAM                                                                       | \$ 1900          |
| RAM confirmation Number                                                                                        | E20203FI52456704 |
| 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               |                                                       | as-filed_Amendment_15372-0002.pdf | 71855                                    | yes              | 17               |
|                 |                                                       |                                   | 051c6d402d7a0b44be600a1dcd2277027b1b207  |                  |                  |
|                 | Multipart Description/PDF files in .zip description   |                                   |                                          |                  |                  |
|                 | Document Description                                  |                                   | Start                                    | End              |                  |
|                 | Amendment/Req. Reconsideration-After Non-Final Reject |                                   | 1                                        | 1                |                  |
|                 | Specification                                         |                                   | 2                                        | 2                |                  |
|                 | Claims                                                |                                   | 3                                        | 11               |                  |
|                 | Applicant Arguments/Remarks Made in an Amendment      |                                   | 12                                       | 16               |                  |
|                 | Abstract                                              |                                   | 17                                       | 17               |                  |
| Warnings:       |                                                       |                                   |                                          |                  |                  |
| Information:    |                                                       |                                   |                                          |                  |                  |
| 2               | Terminal Disclaimer Filed                             | as-filed_TD-1_15372-0002.pdf      | 153250                                   | no               | 2                |
|                 |                                                       |                                   | d6ca576bc131c7cdf7e6fd0fd31090d13058eb84 |                  |                  |
| Warnings:       |                                                       |                                   |                                          |                  |                  |
| Information:    |                                                       |                                   |                                          |                  |                  |
| 3               | Terminal Disclaimer Filed                             | as-filed_TD-2_15372-0002.pdf      | 153203                                   | no               | 2                |
|                 |                                                       |                                   | 6a1b3ecd4cfe5281b4ac5ef311d402de31cfd9f  |                  |                  |
| Warnings:       |                                                       |                                   |                                          |                  |                  |
| Information:    |                                                       |                                   |                                          |                  |                  |
| 4               | Extension of Time                                     | as-filed_EOT_15372-0002.pdf       | 14950                                    | no               | 1                |
|                 |                                                       |                                   | b823897eaabb6a2d588cb045f9efa1b3f94932d3 |                  |                  |
| Warnings:       |                                                       |                                   |                                          |                  |                  |
| Information:    |                                                       |                                   |                                          |                  |                  |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                      |              |                                           |    |   |  |  |  |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--------------|-------------------------------------------|----|---|--|--|--|--|
| 5                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Fee Worksheet (SB06) | fee-info.pdf | 32700                                     | no | 2 |  |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                      |              | 1501791336447514a7252da956a09dbb19925a671 |    |   |  |  |  |  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                      |              |                                           |    |   |  |  |  |  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                      |              |                                           |    |   |  |  |  |  |
| <b>Total Files Size (in bytes):</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                      |              | 425958                                    |    |   |  |  |  |  |
| <p><b>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.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b><br/> 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.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b><br/> 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.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b><br/> 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.</p> |                      |              |                                           |    |   |  |  |  |  |

|                                                    |                                              |                                                                |  |
|----------------------------------------------------|----------------------------------------------|----------------------------------------------------------------|--|
| <b>Application Number</b><br><b>* 16/058,722 *</b> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent under Reexamination</b><br>Larri et al. |  |
|                                                    | <b>Examiner</b><br>MCFADDEN, SUSAN IRIS      | <b>Art Unit</b><br>2658                                        |  |
| <b>Document Code - DISQ</b>                        |                                              | <b>Internal Document - DO NOT MAIL</b>                         |  |

|                                         |                                                        |                                             |
|-----------------------------------------|--------------------------------------------------------|---------------------------------------------|
| <b>TERMINAL DISCLAIMER</b>              | <input checked="" type="checkbox"/> <b>APPROVED</b>    | <input type="checkbox"/> <b>DISAPPROVED</b> |
| <b>Date Filed:</b> <u>16 March 2020</u> | <b>This patent is subject to a Terminal Disclaimer</b> |                                             |

|                                                                                             |
|---------------------------------------------------------------------------------------------|
| <b>Approved/Disapproved by:</b>                                                             |
| /PAMELA A YOUNG/<br><br><b>Technology Center: PLRC</b><br><br><b>Telephone:</b><br><br>2 TD |



# UNITED STATES PATENT AND TRADEMARK OFFICE

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

| APPLICATION NO.                                                                                               | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.              | CONFIRMATION NO. |
|---------------------------------------------------------------------------------------------------------------|-------------|----------------------|----------------------------------|------------------|
| 16/058,722                                                                                                    | 08/08/2018  | Guy Larri            | 15372.0002-00000                 | 6370             |
| 22852                                                                                                         | 7590        | 03/19/2020           |                                  |                  |
| FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER<br>LLP<br>901 NEW YORK AVENUE, NW<br>WASHINGTON, DC 20001-4413 |             |                      | EXAMINER<br>MCFADDEN, SUSAN IRIS |                  |
|                                                                                                               |             |                      | ART UNIT                         | PAPER NUMBER     |
|                                                                                                               |             |                      | 2658                             |                  |
|                                                                                                               |             |                      | NOTIFICATION DATE                | DELIVERY MODE    |
|                                                                                                               |             |                      | 03/19/2020                       | 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):

regional-desk@finnegan.com

|                                     |                        |                     |
|-------------------------------------|------------------------|---------------------|
| <b><i>Notice of Abandonment</i></b> | <b>Application No.</b> | <b>Applicant(s)</b> |
|                                     | 16/058,722             | Lamri et al.        |
|                                     | <b>Examiner</b>        | <b>Art Unit</b>     |
|                                     | SUSAN I MCFADDEN       | 2658                |

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

This application is abandoned in view of:

1. ☒ Applicant's failure to timely file a proper reply to the Office letter mailed on 16 September 2019.
  - (a) ☐ A reply was received on \_\_\_\_\_ (with a Certificate of Mailing or Transmission dated \_\_\_\_\_), which is after the expiration of the period for reply (including a total extension of time of \_\_\_\_\_ month(s)) which expired on \_\_\_\_\_.
  - (b) ☐ A proposed reply was received on \_\_\_\_\_, but it does not constitute a proper reply under 37 CFR 1.113 to the final rejection. (A proper reply under 37 CFR 1.113 to a final rejection consists only of: (1) a timely filed amendment which places the application in condition for allowance; (2) a timely filed Notice of Appeal (with appeal fee); or (3) if this is utility or plant application, a timely filed Request for Continued Examination (RCE) in compliance with 37 CFR 1.114. Note that RCEs are not permitted in design applications.)
  - (c) ☐ A reply was received on \_\_\_\_\_ but it does not constitute a proper reply, or a bona fide attempt at a proper reply, to the non-final rejection. See 37 CFR 1.85(a) and 1.111. (See explanation in box 7 below).
  - (d) ☒ No reply has been received.
2. ☐ Applicant's failure to timely pay the required issue fee and publication fee, if applicable, within the statutory period of three months from the mailing date of the Notice of Allowance (PTOL-85).
  - (a) ☐ The issue fee and publication fee, if applicable, was received on \_\_\_\_\_ (with a Certificate of Mailing or Transmission dated \_\_\_\_\_), which is after the expiration of the statutory period for payment of the issue fee (and publication fee) set in the Notice of Allowance (PTOL-85).
  - (b) ☐ The submitted fee of \$ \_\_\_\_\_ is insufficient. A balance of \$ \_\_\_\_\_ is due.  
The issue fee required by 37CFR 1.18 is \$ \_\_\_\_\_. The publication fee, if required by 37 CFR 1.18(d), is \$ \_\_\_\_\_.
  - (c) ☐ The issue fee and publication fee, if applicable, has not been received.
3. ☐ Applicant's failure to timely file corrected drawings as required by, and within the three-month period set in, the Notice of Allowability (PTO-37).
  - (a) ☐ Proposed corrected drawings were received on \_\_\_\_\_ (with a Certificate of Mailing or Transmission dated \_\_\_\_\_), which is after the expiration of the period for reply.
  - (b) ☐ No corrected drawings have been received.
4. ☐ The letter of express abandonment which is signed by the attorney or agent of record or other party authorized under 37 CFR 1.33 (b). See 37 CFR 1.138(b).
5. ☐ The letter of express abandonment which is signed by an attorney or agent (acting in a representative capacity under 37 CFR 1.34) upon the filing of a continuing application.
6. ☐ The decision by the Patent Trial and Appeal Board rendered on \_\_\_\_\_ and because the period for seeking court review of the decision has expired and there are no allowed claims.
7. ☐ The dismissal of the appeal in an application having no allowed claims. (When an appeal is dismissed in an application having no allowed claims the application stands abandoned. See MPEP 1215.04 subsections I-V for an explanation of the reasons why an appeal is dismissed.)
8. ☐ The reason(s) below:  
  
\_\_\_\_\_

|                                                       |  |
|-------------------------------------------------------|--|
| /SUSAN I MCFADDEN/<br>Primary Examiner, Art Unit 2658 |  |
|-------------------------------------------------------|--|

Petitions to revive under 37 CFR 1.137, or requests to withdraw the holding of abandonment under 37 CFR 1.181, should be promptly filed to minimize any negative effects on patent term.



# United States Patent and Trademark Office

*Office of the Chief Financial Officer*

Document Code:WFEE

User :72230

Sale Accounting Date:03/25/2020

Sale Item Reference Number  
16058722

Effective Date  
03/16/2020

| Document Number  | Fee Code | Fee Code Description                | Amount Paid | Payment Method  |
|------------------|----------|-------------------------------------|-------------|-----------------|
| I20203OA47093111 | 2814     | STATUTORY OR TERMINAL<br>DISCLAIMER | \$320.00    | Deposit Account |



# UNITED STATES PATENT AND TRADEMARK OFFICE

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Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

| APPLICATION NO.                                                                                               | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.              | CONFIRMATION NO. |
|---------------------------------------------------------------------------------------------------------------|-------------|----------------------|----------------------------------|------------------|
| 16/058,722                                                                                                    | 08/08/2018  | Guy Larri            | 15372.0002-00000                 | 6370             |
| 22852                                                                                                         | 7590        | 04/15/2020           |                                  |                  |
| FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER<br>LLP<br>901 NEW YORK AVENUE, NW<br>WASHINGTON, DC 20001-4413 |             |                      | EXAMINER<br>MCFADDEN, SUSAN IRIS |                  |
|                                                                                                               |             |                      | ART UNIT                         | PAPER NUMBER     |
|                                                                                                               |             |                      | 2658                             |                  |
|                                                                                                               |             |                      | NOTIFICATION DATE                | DELIVERY MODE    |
|                                                                                                               |             |                      | 04/15/2020                       | 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):

regional-desk@finnegan.com



## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) 1.133 Interviews

#### Paragraph (b)

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

#### 37 CFR §1.2 Business to be transacted in writing.

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

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

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

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

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

The Form provides for recordation of the following information:

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

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

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

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

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

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiners version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, Interview Record OK on the paper recording the substance of the interview along with the date and the examiners initials.



UNITED STATES DEPARTMENT OF COMMERCE  
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| APPLICATION NO./<br>CONTROL NO. | FILING DATE | FIRST NAMED INVENTOR/<br>PATENT IN REEXAMINATION | ATTORNEY DOCKET NO. |
|---------------------------------|-------------|--------------------------------------------------|---------------------|
| 16/058,722                      | 08/08/2018  | Larri et al.                                     | 15372.0002-0000     |

|                                                                                                            |  |                  |          |
|------------------------------------------------------------------------------------------------------------|--|------------------|----------|
| FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER LLP<br>901 NEW YORK AVENUE, NW<br>WASHINGTON, DC 20001-4413 |  | EXAMINER         |          |
|                                                                                                            |  | SUSAN I MCFADDEN |          |
|                                                                                                            |  | ART UNIT         | PAPER    |
|                                                                                                            |  | 2658             | 20200408 |

DATE MAILED: \_\_\_\_\_

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

Commissioner for Patents

Attached is the Interview Summary from 4-7-20.

/SUSAN I MCFADDEN/  
Primary Examiner, Art Unit 2658

PTO-90C (Rev.04-03)



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www.uspto.gov

| APPLICATION NO.                                                                                               | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.              | CONFIRMATION NO. |
|---------------------------------------------------------------------------------------------------------------|-------------|----------------------|----------------------------------|------------------|
| 16/058,722                                                                                                    | 08/08/2018  | Guy Larri            | 15372.0002-00000                 | 6370             |
| 22852                                                                                                         | 7590        | 06/17/2020           |                                  |                  |
| FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER<br>LLP<br>901 NEW YORK AVENUE, NW<br>WASHINGTON, DC 20001-4413 |             |                      | EXAMINER<br>MCFADDEN, SUSAN IRIS |                  |
|                                                                                                               |             |                      | ART UNIT                         | PAPER NUMBER     |
|                                                                                                               |             |                      | 2658                             |                  |
|                                                                                                               |             |                      | NOTIFICATION DATE                | DELIVERY MODE    |
|                                                                                                               |             |                      | 06/17/2020                       | 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):

regional-desk@finnegan.com



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450  
www.uspto.gov

In re Application of :  
Larri et al. :  
Application No. 16/058,722 : DECISION ON PETITION  
Filed: 8 Aug 2018 :  
For: SPEECH RECOGNITION CIRCUIT :  
AND METHOD :

This is a sua sponte decision, withdrawing the holding of abandonment.

The withdrawal of the holding of abandonment is GRANTED.

This application became abandoned for failure to file a timely response to the non-Final Office Action mailed September 16, 2019 which set a three (3) MONTH period for response. Accordingly, a Notice of Abandonment was mailed March 19, 2020.

A search of the application file and the USPTO records reveals that in fact, a response was timely filed with a three month extension of time on March 16, 2020.

In view thereof, the Notice of Abandonment was mailed in error. The holding of abandonment is sua sponte withdrawn. The notice of abandonment is vacated.

The application is referred to Technology Center Art Unit 2658 for treatment of the timely filed response and for further examination as appropriate.

Telephone inquiries concerning this matter may be directed to the undersigned Attorney at (571) 272-3212. Questions regarding the Examination of the application should be directed to the Technology Center.

/Patricia Faison-Ball/

Patricia Faison-Ball  
ATTORNEY ADVISOR, OPET



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## NOTICE OF ALLOWANCE AND FEE(S) DUE

22852 7590 07/13/2020  
FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER  
LLP  
901 NEW YORK AVENUE, NW  
WASHINGTON, DC 20001-4413

EXAMINER

MCADDEN, SUSAN IRIS

ART UNIT

PAPER NUMBER

2658

DATE MAILED: 07/13/2020

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 16/058,722      | 08/08/2018  | Guy Larri            | 15372.0002-00000    | 6370             |

TITLE OF INVENTION: SPEECH RECOGNITION CIRCUIT AND METHOD

| 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            | 10/13/2020 |

**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.

**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](http://www.uspto.gov/PatentMaintenanceFees).**

**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)

22852 7590 07/13/2020

FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER  
LLP  
901 NEW YORK AVENUE, NW  
WASHINGTON, DC 20001-4413

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. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 16/058,722      | 08/08/2018  | Guy Larri            | 15372.0002-00000    | 6370             |

TITLE OF INVENTION: SPEECH RECOGNITION CIRCUIT AND METHOD

| 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            | 10/13/2020 |

| EXAMINER             | ART UNIT | CLASS-SUBCLASS |
|----------------------|----------|----------------|
| MCFADDEN, SUSAN IRIS | 2658     | 704-251000     |

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, 1 \_\_\_\_\_
- (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. 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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| APPLICATION NO.                                                                                               | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.  | CONFIRMATION NO. |
|---------------------------------------------------------------------------------------------------------------|-------------|----------------------|----------------------|------------------|
| 16/058,722                                                                                                    | 08/08/2018  | Guy Larri            | 15372.0002-00000     | 6370             |
| 22852                                                                                                         | 7590        | 07/13/2020           | EXAMINER             |                  |
| FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER<br>LLP<br>901 NEW YORK AVENUE, NW<br>WASHINGTON, DC 20001-4413 |             |                      | MCFADDEN, SUSAN IRIS |                  |
|                                                                                                               |             |                      | ART UNIT             | PAPER NUMBER     |
|                                                                                                               |             |                      | 2658                 |                  |

DATE MAILED: 07/13/2020

## 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.

|                               |                                      |                                     |                                |
|-------------------------------|--------------------------------------|-------------------------------------|--------------------------------|
| <b>Notice of Allowability</b> | <b>Application No.</b><br>16/058,722 | <b>Applicant(s)</b><br>Larri et al. |                                |
|                               | <b>Examiner</b><br>SUSAN I MCFADDEN  | <b>Art Unit</b><br>2658             | <b>AIA (FITF) Status</b><br>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 Terminal Disclaimers filed 3-16-20.  
☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on \_\_\_\_.

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

3. ☒ The allowed claim(s) is/are 1-45. 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](http://www.uspto.gov/patents/init_events/pph/index.jsp) or send an inquiry to [PPHfeedback@uspto.gov](mailto: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. 14/788,164.  
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. <input type="checkbox"/> Notice of References Cited (PTO-892)                                                 | 5. <input type="checkbox"/> Examiner's Amendment/Comment                  |
| 2. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date ____.          | 6. <input type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| 3. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material ____. | 7. <input type="checkbox"/> Other ____.                                   |
| 4. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date. ____.                           |                                                                           |

|                                                       |  |
|-------------------------------------------------------|--|
| /SUSAN I MCFADDEN/<br>Primary Examiner, Art Unit 2658 |  |
|-------------------------------------------------------|--|

|                                                                                                                    |                                              |                                                                |
|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------|----------------------------------------------------------------|
| <b><i>Index of Claims</i></b><br> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent Under Reexamination</b><br>Larri et al. |
|                                                                                                                    | <b>Examiner</b><br>SUSAN I MCFADDEN          | <b>Art Unit</b><br>2658                                        |

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

| CLAIMS                                                                                                                                                                                                  |          |            |            |  |  |  |  |  |  |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|------------|------------|--|--|--|--|--|--|--|
| <input checked="" type="checkbox"/> Claims renumbered in the same order as presented by applicant <input type="checkbox"/> CPA <input checked="" type="checkbox"/> T.D. <input type="checkbox"/> R.1.47 |          |            |            |  |  |  |  |  |  |  |
| CLAIM                                                                                                                                                                                                   |          | DATE       |            |  |  |  |  |  |  |  |
| Final                                                                                                                                                                                                   | Original | 09/10/2019 | 06/30/2020 |  |  |  |  |  |  |  |
| 1                                                                                                                                                                                                       | 1        | ✓          | =          |  |  |  |  |  |  |  |
| 2                                                                                                                                                                                                       | 2        | ✓          | =          |  |  |  |  |  |  |  |
| 3                                                                                                                                                                                                       | 3        | ✓          | =          |  |  |  |  |  |  |  |
| 4                                                                                                                                                                                                       | 4        | ✓          | =          |  |  |  |  |  |  |  |
| 5                                                                                                                                                                                                       | 5        | ✓          | =          |  |  |  |  |  |  |  |
| 6                                                                                                                                                                                                       | 6        | ✓          | =          |  |  |  |  |  |  |  |
| 7                                                                                                                                                                                                       | 7        | ✓          | =          |  |  |  |  |  |  |  |
| 8                                                                                                                                                                                                       | 8        | ✓          | =          |  |  |  |  |  |  |  |
| 9                                                                                                                                                                                                       | 9        | ✓          | =          |  |  |  |  |  |  |  |
| 10                                                                                                                                                                                                      | 10       |            | =          |  |  |  |  |  |  |  |
| 11                                                                                                                                                                                                      | 11       |            | =          |  |  |  |  |  |  |  |
| 12                                                                                                                                                                                                      | 12       |            | =          |  |  |  |  |  |  |  |
| 13                                                                                                                                                                                                      | 13       |            | =          |  |  |  |  |  |  |  |
| 14                                                                                                                                                                                                      | 14       |            | =          |  |  |  |  |  |  |  |
| 15                                                                                                                                                                                                      | 15       |            | =          |  |  |  |  |  |  |  |
| 16                                                                                                                                                                                                      | 16       |            | =          |  |  |  |  |  |  |  |
| 17                                                                                                                                                                                                      | 17       |            | =          |  |  |  |  |  |  |  |
| 18                                                                                                                                                                                                      | 18       |            | =          |  |  |  |  |  |  |  |
| 19                                                                                                                                                                                                      | 19       |            | =          |  |  |  |  |  |  |  |
| 20                                                                                                                                                                                                      | 20       |            | =          |  |  |  |  |  |  |  |
| 21                                                                                                                                                                                                      | 21       |            | =          |  |  |  |  |  |  |  |
| 22                                                                                                                                                                                                      | 22       |            | =          |  |  |  |  |  |  |  |
| 23                                                                                                                                                                                                      | 23       |            | =          |  |  |  |  |  |  |  |
| 24                                                                                                                                                                                                      | 24       |            | =          |  |  |  |  |  |  |  |
| 25                                                                                                                                                                                                      | 25       |            | =          |  |  |  |  |  |  |  |
| 26                                                                                                                                                                                                      | 26       |            | =          |  |  |  |  |  |  |  |
| 27                                                                                                                                                                                                      | 27       |            | =          |  |  |  |  |  |  |  |
| 28                                                                                                                                                                                                      | 28       |            | =          |  |  |  |  |  |  |  |
| 29                                                                                                                                                                                                      | 29       |            | =          |  |  |  |  |  |  |  |
| 30                                                                                                                                                                                                      | 30       |            | =          |  |  |  |  |  |  |  |
| 31                                                                                                                                                                                                      | 31       |            | =          |  |  |  |  |  |  |  |
| 32                                                                                                                                                                                                      | 32       |            | =          |  |  |  |  |  |  |  |
| 33                                                                                                                                                                                                      | 33       |            | =          |  |  |  |  |  |  |  |
| 34                                                                                                                                                                                                      | 34       |            | =          |  |  |  |  |  |  |  |
| 35                                                                                                                                                                                                      | 35       |            | =          |  |  |  |  |  |  |  |
| 36                                                                                                                                                                                                      | 36       |            | =          |  |  |  |  |  |  |  |
| 37                                                                                                                                                                                                      | 37       |            | =          |  |  |  |  |  |  |  |
| 38                                                                                                                                                                                                      | 38       |            | =          |  |  |  |  |  |  |  |
| 39                                                                                                                                                                                                      | 39       |            | =          |  |  |  |  |  |  |  |
| 40                                                                                                                                                                                                      | 40       |            | =          |  |  |  |  |  |  |  |
| 41                                                                                                                                                                                                      | 41       |            | =          |  |  |  |  |  |  |  |
| 42                                                                                                                                                                                                      | 42       |            | =          |  |  |  |  |  |  |  |

|                                                                                                                    |                                              |                                                                |
|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------|----------------------------------------------------------------|
| <b><i>Index of Claims</i></b><br> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent Under Reexamination</b><br>Larri et al. |
|                                                                                                                    | <b>Examiner</b><br>SUSAN I MCFADDEN          | <b>Art Unit</b><br>2658                                        |

| CLAIM |          | DATE       |            |  |  |  |  |  |  |  |
|-------|----------|------------|------------|--|--|--|--|--|--|--|
| Final | Original | 09/10/2019 | 06/30/2020 |  |  |  |  |  |  |  |
| 43    | 43       |            | =          |  |  |  |  |  |  |  |
| 44    | 44       |            | =          |  |  |  |  |  |  |  |
| 45    | 45       |            | =          |  |  |  |  |  |  |  |

|                                                                                                                  |                                              |                                                               |
|------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------|
| <b>Issue Classification</b><br> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent Under Reexamination</b><br>Lari et al. |
|                                                                                                                  | <b>Examiner</b><br>SUSAN I MCFADDEN          | <b>Art Unit</b><br>2658                                       |

| CPC    |   |    |   |     |      |            |
|--------|---|----|---|-----|------|------------|
| Symbol |   |    |   |     | Type | Version    |
| G10L   | / | 15 | / | 08  | F    | 2013-01-01 |
| G10L   | / | 15 | / | 10  | I    | 2013-01-01 |
| G10L   | / | 15 | / | 285 | I    | 2013-01-01 |
| G10L   | / | 15 | / | 06  | I    | 2013-01-01 |
| G10L   | / | 15 | / | 02  | I    | 2013-01-01 |

| CPC Combination Sets |   |  |      |     |         |         |
|----------------------|---|--|------|-----|---------|---------|
| Symbol               |   |  | Type | Set | Ranking | Version |
|                      | / |  | /    |     |         |         |

|                                                       |              |                              |                   |
|-------------------------------------------------------|--------------|------------------------------|-------------------|
| NONE                                                  |              | <b>Total Claims Allowed:</b> |                   |
| (Assistant Examiner)                                  | (Date)       | 45                           |                   |
| /SUSAN I MCFADDEN/<br>Primary Examiner, Art Unit 2658 | 30 June 2020 | O.G. Print Claim(s)          | O.G. Print Figure |
| (Primary Examiner)                                    | (Date)       | 1                            | 16                |

U.S. Patent and Trademark Office

Part of Paper No.: 20200630

|                                                                                                                  |                                              |                                                               |
|------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------|
| <b>Issue Classification</b><br> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent Under Reexamination</b><br>Lari et al. |
|                                                                                                                  | <b>Examiner</b><br>SUSAN I MCFADDEN          | <b>Art Unit</b><br>2658                                       |

|                                     |   |    |      |
|-------------------------------------|---|----|------|
| <b>INTERNATIONAL CLASSIFICATION</b> |   |    |      |
| <b>CLAIMED</b>                      |   |    |      |
| G10L                                | / | 15 | / 10 |
| <b>NON-CLAIMED</b>                  |   |    |      |
|                                     | / |    | /    |

|                                   |                 |
|-----------------------------------|-----------------|
| <b>US ORIGINAL CLASSIFICATION</b> |                 |
| <b>CLASS</b>                      | <b>SUBCLASS</b> |
| 704                               | 251             |

|                            |                                          |  |  |  |  |  |
|----------------------------|------------------------------------------|--|--|--|--|--|
| <b>CROSS REFERENCES(S)</b> |                                          |  |  |  |  |  |
| <b>CLASS</b>               | <b>SUBCLASS (ONE SUBCLASS PER BLOCK)</b> |  |  |  |  |  |
|                            |                                          |  |  |  |  |  |

|                                                       |              |                              |                   |
|-------------------------------------------------------|--------------|------------------------------|-------------------|
| NONE                                                  |              | <b>Total Claims Allowed:</b> |                   |
| (Assistant Examiner)                                  | (Date)       | 45                           |                   |
| /SUSAN I MCFADDEN/<br>Primary Examiner, Art Unit 2658 | 30 June 2020 | O.G. Print Claim(s)          | O.G. Print Figure |
| (Primary Examiner)                                    | (Date)       | 1                            | 16                |

U.S. Patent and Trademark Office

Part of Paper No.: 20200630

|                                                                                                                  |                                              |                                                               |
|------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------|
| <b>Issue Classification</b><br> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent Under Reexamination</b><br>Lari et al. |
|                                                                                                                  | <b>Examiner</b><br>SUSAN I MCFADDEN          | <b>Art Unit</b><br>2658                                       |

|                                                                                                                                                                                                         |                 |              |                 |              |                 |              |                 |              |                 |              |                 |              |                 |              |                 |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|--------------|-----------------|--------------|-----------------|--------------|-----------------|--------------|-----------------|--------------|-----------------|--------------|-----------------|--------------|-----------------|
| <input checked="" type="checkbox"/> Claims renumbered in the same order as presented by applicant <input type="checkbox"/> CPA <input checked="" type="checkbox"/> T.D. <input type="checkbox"/> R.1.47 |                 |              |                 |              |                 |              |                 |              |                 |              |                 |              |                 |              |                 |
| <b>CLAIMS</b>                                                                                                                                                                                           |                 |              |                 |              |                 |              |                 |              |                 |              |                 |              |                 |              |                 |
| <b>Final</b>                                                                                                                                                                                            | <b>Original</b> | <b>Final</b> | <b>Original</b> | <b>Final</b> | <b>Original</b> | <b>Final</b> | <b>Original</b> | <b>Final</b> | <b>Original</b> | <b>Final</b> | <b>Original</b> | <b>Final</b> | <b>Original</b> | <b>Final</b> | <b>Original</b> |
| 1                                                                                                                                                                                                       | 1               | 10           | 10              | 19           | 19              | 28           | 28              | 37           | 37              |              |                 |              |                 |              |                 |
| 2                                                                                                                                                                                                       | 2               | 11           | 11              | 20           | 20              | 29           | 29              | 38           | 38              |              |                 |              |                 |              |                 |
| 3                                                                                                                                                                                                       | 3               | 12           | 12              | 21           | 21              | 30           | 30              | 39           | 39              |              |                 |              |                 |              |                 |
| 4                                                                                                                                                                                                       | 4               | 13           | 13              | 22           | 22              | 31           | 31              | 40           | 40              |              |                 |              |                 |              |                 |
| 5                                                                                                                                                                                                       | 5               | 14           | 14              | 23           | 23              | 32           | 32              | 41           | 41              |              |                 |              |                 |              |                 |
| 6                                                                                                                                                                                                       | 6               | 15           | 15              | 24           | 24              | 33           | 33              | 42           | 42              |              |                 |              |                 |              |                 |
| 7                                                                                                                                                                                                       | 7               | 16           | 16              | 25           | 25              | 34           | 34              | 43           | 43              |              |                 |              |                 |              |                 |
| 8                                                                                                                                                                                                       | 8               | 17           | 17              | 26           | 26              | 35           | 35              | 44           | 44              |              |                 |              |                 |              |                 |
| 9                                                                                                                                                                                                       | 9               | 18           | 18              | 27           | 27              | 36           | 36              | 45           | 45              |              |                 |              |                 |              |                 |

|                                                       |                              |                   |
|-------------------------------------------------------|------------------------------|-------------------|
| NONE                                                  | <b>Total Claims Allowed:</b> |                   |
| (Assistant Examiner)                                  | (Date)                       | 45                |
| /SUSAN I MCFADDEN/<br>Primary Examiner, Art Unit 2658 | 30 June 2020                 |                   |
| (Primary Examiner)                                    | (Date)                       |                   |
|                                                       | O.G. Print Claim(s)          | O.G. Print Figure |
|                                                       | 1                            | 16                |

U.S. Patent and Trademark Office

Part of Paper No.: 20200630

|                                                                                                          |                                              |                                                                |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------|----------------------------------------------------------------|
| <b>Search Notes</b><br> | <b>Application/Control No.</b><br>16/058,722 | <b>Applicant(s)/Patent Under Reexamination</b><br>Larri et al. |
|                                                                                                          | <b>Examiner</b><br>SUSAN I MCFADDEN          | <b>Art Unit</b><br>2658                                        |

| CPC - Searched* |            |          |
|-----------------|------------|----------|
| Symbol          | Date       | Examiner |
| G10L 15/10      | 09/10/2019 | SM       |

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

| US Classification - Searched* |          |            |          |
|-------------------------------|----------|------------|----------|
| Class                         | Subclass | Date       | Examiner |
| 704                           | 251      | 09/10/2019 | SM       |

\* 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 |
| Searched WEST  | 09/10/2019 | SM       |
| Updated Search | 06/30/2020 | SM       |

| Interference Search |                       |            |          |
|---------------------|-----------------------|------------|----------|
| US Class/CPC Symbol | US Subclass/CPC Group | Date       | Examiner |
| G10L                | 15/10                 | 06/30/2020 | SM       |

|  |  |
|--|--|
|  |  |
|--|--|

## Bibliographic Data

Application No: 16/058,722

Foreign Priority claimed: ☒ Yes ☐ No

35 USC 119 (a-d) conditions met: ☒ Yes ☐ No

☐ Met After Allowance

Verified and Acknowledged: /SUSAN I MCFADDEN/

Examiner's Signature

Initials

Title: SPEECH RECOGNITION CIRCUIT AND METHOD

---

| FILING or 371(c) DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET NO. |
|-----------------------|-------|----------------|---------------------|
| 08/08/2018            | 704   | 2658           | 15372.0002-00000    |
| RULE                  |       |                |                     |

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Damian Kelly Harris-Dowsett Coventry, UNITED KINGDOM

Timothy Brian Reynolds Cambridge, UNITED KINGDOM

### CONTINUING DATA

This application is a DIV of 14788164 06/30/2015 PAT 10062377

14788164 is a CON of 13735091 01/07/2013 PAT 9076441

13735091 is a CON of 13162128 06/16/2011 PAT 8352262

13162128 is a DIV of 11662704 03/14/2007 PAT 7979277

11662704 is a 371 of PCT/GB2005/003554 09/14/2005

### FOREIGN APPLICATIONS

UNITED KINGDOM 0420464.0 09/14/2004

### IF REQUIRED, FOREIGN LICENSE GRANTED\*\*

08/24/2018

\*\* SMALL ENTITY \*\*

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UNITED STATES

**FILING FEE RECEIVED**

\$785

## WEST Search History for Application 16058722

Creation Date: 2020063014:03

### Interference Searches

| Query                                                                                                                                     | DB   | Hits | Op. | Plur. | Thes. | Date       |
|-------------------------------------------------------------------------------------------------------------------------------------------|------|------|-----|-------|-------|------------|
| larri.in. and acoustic near4 model and speech near recognition near word near search                                                      | PGPB | 1    | OR  | YES   |       | 06-17-2020 |
| larri.in. and acoustic near4 model and speech near recognition near word near search                                                      | USPT | 0    | OR  | YES   |       | 06-17-2020 |
| acoustic near4 model and distance and integrated near circuit                                                                             | USPT | 0    | OR  | YES   |       | 06-17-2020 |
| acoustic near4 model and distance and integrated near circuit                                                                             | USPT | 1235 | OR  | YES   |       | 06-17-2020 |
| acoustic near4 model and distance and integrated near circuit and coprocessor                                                             | USPT | n/a  | OR  | YES   |       | 06-17-2020 |
| acoustic near4 model and distance and integrated near circuit and coprocessor                                                             | USPT | 46   | OR  | YES   |       | 06-17-2020 |
| acoustic near4 model and distance and integrated near circuit and coprocessor and audio                                                   | USPT | 46   | OR  | YES   |       | 06-17-2020 |
| (acoustic near4 model and distance and integrated near circuit and coprocessor and audio).clm.                                            | USPT | 0    | OR  | YES   |       | 06-17-2020 |
| ((acoustic near4 model or Gaussian or FLASH) and (distance or probabilities) and integrated near circuit and coprocessor and audio).clm.  | USPT | 0    | OR  | YES   |       | 06-17-2020 |
| ((acoustic near4 model or Gaussian or FLASH) and (distance or probabilities) and integrated near circuit and coprocessor and audio).clm.  | PGPB | 0    | OR  | YES   |       | 06-17-2020 |
| ((acoustic near4 model or Gaussian or FLASH) and (distances or probabilities) and integrated near circuit and coprocessor and audio).clm. | PGPB | 0    | OR  | YES   |       | 06-17-2020 |
| larri.in.                                                                                                                                 | PGPB | 45   | OR  | YES   |       | 06-17-2020 |
| larri.in. and acoustic near model                                                                                                         | PGPB | 5    | OR  | YES   |       | 06-17-2020 |
| (larri.in. and acoustic near model) and similarity                                                                                        | PGPB | 5    | OR  | YES   |       | 06-17-2020 |
| (larri.in. and acoustic near model) and similarity and distance                                                                           | PGPB | 5    | OR  | YES   |       | 06-17-2020 |
|                                                                                                                                           | PGPB | 5    | OR  | YES   |       | 06-17-2020 |

|                                                                                                                                                                           |      |    |    |     |  |            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|----|----|-----|--|------------|
| (larri.in. and acoustic near model) and similarity and distance and audio                                                                                                 |      |    |    |     |  |            |
| (larri.in. and acoustic near model) and similarity and distance and audio and integrated near circuit                                                                     | PGPB | 5  | OR | YES |  | 06-17-2020 |
| (acoustic near model and accelerator and integrated near circuit).clm.                                                                                                    | PGPB | 0  | OR | YES |  | 06-17-2020 |
| (acoustic near model and accelerator and integrated near circuit).clm.                                                                                                    | PGPB | 4  | OR | YES |  | 06-17-2020 |
| (acoustic near model and accelerator and integrated near circuit).clm.                                                                                                    | USPT | 1  | OR | YES |  | 06-17-2020 |
| (acoustic near model and accelerator and integrated near circuit).clm. and distance                                                                                       | USPT | 0  | OR | YES |  | 06-17-2020 |
| (acoustic near model and accelerator and integrated near circuit).clm. and distances                                                                                      | USPT | 0  | OR | YES |  | 06-17-2020 |
| (acoustic near model and accelerator and integrated near circuit).clm. and similarity                                                                                     | USPT | 0  | OR | YES |  | 06-17-2020 |
| (acoustic near model and accelerator and integrated near circuit).clm. and similarity                                                                                     | PGPB | 2  | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and integrated near circuit and similarity                                                                                            | USPT | 73 | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and integrated near circuit and similarity and distance                                                                               | USPT | 57 | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and integrated near circuit and similarity and distance and mahalanobis                                                               | USPT | 32 | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and integrated near circuit and similarity and distance and mahalanobis and speech near recognition                                   | USPT | 32 | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and integrated near circuit and similarity and distance and mahalanobis and speech near recognition near word near search             | USPT | 0  | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and integrated near circuit and similarity and distance and mahalanobis and speech near recognition near word near search             | PGPB | 1  | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and single near integrated near circuit and similarity and distance and mahalanobis and speech near recognition near word near search | PGPB | 1  | OR | YES |  | 06-17-2020 |

|                                                                                                                                                                            |      |    |    |     |  |            |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|----|----|-----|--|------------|
| acoustic near model and accelerator and single near integrated near circuit and similarity and distance and mahalanobis and speech near recognition near word near search  | USPT | 0  | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and single near integrated near circuit and similarity and distance and mahalanobis                                                    | USPT | 29 | OR | YES |  | 06-17-2020 |
| acoustic near model and accelerator and single near integrated near circuit and similarity and distance and mahalanobis and (speech or voice) near recognition             | USPT | 29 | OR | YES |  | 06-17-2020 |
| acoustic near model near memory and accelerator and single near integrated near circuit and similarity and distance and mahalanobis and (speech or voice) near recognition | USPT | 1  | OR | YES |  | 06-17-2020 |
| larri.in. and acoustic and distance and integrated near circuit and probabilities                                                                                          | PGPB | 5  | OR | YES |  | 06-30-2020 |
| larri.in. and acoustic near model near memory and distance and integrated near circuit and probabilities                                                                   | PGPB | 5  | OR | YES |  | 06-30-2020 |
| larri.in. and acoustic near model near memory and distance and integrated near circuit and probabilities                                                                   | USPT | 4  | OR | YES |  | 06-30-2020 |

### Prior Art Searches

| Query                                                                                            | DB   | Hits | Op. | Plur. | Thes. | Date       |
|--------------------------------------------------------------------------------------------------|------|------|-----|-------|-------|------------|
| larri.in.                                                                                        | USPT | 34   | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic                                                                           | USPT | 5    | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic and distance                                                              | USPT | 4    | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic and distance and similarity                                               | USPT | 4    | OR  | YES   |       | 09-09-2019 |
| larri.in. and acoustic and distance and similarity and vector                                    | USPT | 4    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm.                             | USPT | 3    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm. and circuit                 | USPT | 3    | OR  | YES   |       | 09-09-2019 |
| larri.in. and (acoustic and distance and similarity and vector).clm. and circuit and coprocessor | USPT | 0    | OR  | YES   |       | 09-09-2019 |

|                                                                                                                               |      |    |    |     |  |            |
|-------------------------------------------------------------------------------------------------------------------------------|------|----|----|-----|--|------------|
| <b>larri.in. and (acoustic and distance and similarity and vector).clm. and circuit and coprocessor</b>                       | PGPB | 1  | OR | YES |  | 09-09-2019 |
| <b>larri.in. and (acoustic and distance and similarity and vector).clm. and circuit and speech near recognition</b>           | USPT | 3  | OR | YES |  | 09-09-2019 |
| <b>larri.in. and integrated near4 circuit</b>                                                                                 | USPT | 10 | OR | YES |  | 09-10-2019 |
| <b>larri.in. and integrated near4 circuit and acoustic</b>                                                                    | USPT | 4  | OR | YES |  | 09-10-2019 |
| <b>larri.in. and integrated near4 circuit and acoustic and distances</b>                                                      | USPT | 4  | OR | YES |  | 09-10-2019 |
| <b>larri.in. and integrated near4 circuit and acoustic and distances and similarity</b>                                       | USPT | 4  | OR | YES |  | 09-10-2019 |
| <b>larri.in. and integrated near4 circuit and (acoustic and distances and similarity).clm.</b>                                | USPT | 3  | OR | YES |  | 09-10-2019 |
| <b>larri.in. and integrated near4 circuit and (acoustic and distances and similarity).clm. and acoustic near4 coprocessor</b> | USPT | 0  | OR | YES |  | 09-10-2019 |
| <b>larri.in. and integrated near4 circuit and (acoustic and distances and similarity and interface).clm.</b>                  | USPT | 0  | OR | YES |  | 09-10-2019 |
| <b>larri.in. and integrated near4 circuit and (acoustic and distances and similarity and memory).clm.</b>                     | USPT | 2  | OR | YES |  | 09-10-2019 |
| <b>(acoustic and distances and similarity and memory).clm.</b>                                                                | USPT | 39 | OR | YES |  | 09-10-2019 |
| <b>(acoustic and distances and similarity and memory and calculating).clm.</b>                                                | USPT | 15 | OR | YES |  | 09-10-2019 |
| <b>(acoustic near4 model and distances and similarity and memory and calculating).clm.</b>                                    | USPT | 4  | OR | YES |  | 09-10-2019 |
| <b>(acoustic near4 model and distances and similarity and memory and calculating and interface).clm.</b>                      | USPT | 1  | OR | YES |  | 09-10-2019 |
| <b>(acoustic near4 model and distances and similarity and memory and calculating and feature).clm.</b>                        | USPT | 3  | OR | YES |  | 09-10-2019 |
| <b>(acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and circuit</b>            | USPT | 2  | OR | YES |  | 09-10-2019 |
| <b>(acoustic near4 model and distances and similarity and memory and calculating and</b>                                      | USPT | 2  | OR | YES |  | 09-10-2019 |

|                                                                                                                                                                                 |      |        |    |     |  |            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|--------|----|-----|--|------------|
| feature).clm. and integrated near4 circuit                                                                                                                                      |      |        |    |     |  |            |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit                                                    | PGPB | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian                                       | PGPB | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian                                       | USPT | 2      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and overlaps                                       | USPT | 0      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and overlaps                                       | PGPB | 1      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and FLASH                             | PGPB | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word search                       | PGPB | 628499 | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search                  | PGPB | 3      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously | PGPB | 0      | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously | PGPB | 3      | OR | YES |  | 09-10-2019 |
|                                                                                                                                                                                 | USPT | 2      | OR | YES |  | 09-10-2019 |

|                                                                                                                                                                                                                    |      |     |    |     |  |            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|-----|----|-----|--|------------|
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously                                    |      |     |    |     |  |            |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously and first near feature near vector | USPT | 0   | OR | YES |  | 09-10-2019 |
| (acoustic near4 model and distances and similarity and memory and calculating and feature).clm. and integrated near4 circuit and gaussian and word near search and autonomously and first near feature near vector | PGPB | 1   | OR | YES |  | 09-10-2019 |
| larri.in.                                                                                                                                                                                                          | USPT | 37  | OR | YES |  | 06-17-2020 |
| larri.in. and acoustic near5 coprocessor                                                                                                                                                                           | USPT | 0   | OR | YES |  | 06-17-2020 |
| acoustic near5 coprocessor                                                                                                                                                                                         | USPT | 10  | OR | YES |  | 06-17-2020 |
| acoustic near5 coprocessor and interface                                                                                                                                                                           | USPT | 10  | OR | YES |  | 06-17-2020 |
| acoustic near5 coprocessor and interface and distance                                                                                                                                                              | USPT | 10  | OR | YES |  | 06-17-2020 |
| acoustic near5 coprocessor and interface and distance and similarity                                                                                                                                               | USPT | 0   | OR | YES |  | 06-17-2020 |
| acoustic near5 coprocessor and interface and distance and similarity and model                                                                                                                                     | USPT | 0   | OR | YES |  | 06-17-2020 |
| acoustic near5 coprocessor and (first and second) near5 interface and distance and similarity                                                                                                                      | USPT | 0   | OR | YES |  | 06-17-2020 |
| acoustic and (first and second) near5 interface and distance and similarity                                                                                                                                        | USPT | 659 | OR | YES |  | 06-17-2020 |
| acoustic and (first and second) near5 interface and distances and similarity                                                                                                                                       | USPT | n/a | OR | YES |  | 06-17-2020 |
| acoustic near4 model and (first and second) near5 interface and distances and similarity                                                                                                                           | USPT | 51  | OR | YES |  | 06-17-2020 |
| acoustic near4 model and (first and second) near5 interface and distances and similarity and single near5 integrated                                                                                               | USPT | 17  | OR | YES |  | 06-17-2020 |
| acoustic near4 model and (first and second) near5 interface and distances and similarity and single near5 integrated near circuit                                                                                  | USPT | 6   | OR | YES |  | 06-17-2020 |

|                                                                                                                                                                                |      |         |    |     |  |            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|---------|----|-----|--|------------|
| <b>acoustic near4 model and (first and second) near5 interface and distances and similarity and single near5 integrated near circuit and coprocessor</b>                       | USPT | 6       | OR | YES |  | 06-17-2020 |
| <b>larri.in. and acoustic</b>                                                                                                                                                  | USPT | 5       | OR | YES |  | 06-17-2020 |
| <b>larri.in. and acoustic near4 model</b>                                                                                                                                      | USPT | 4       | OR | YES |  | 06-17-2020 |
| <b>larri.in. and acoustic near4 model and speech near recognition</b>                                                                                                          | USPT | 4       | OR | YES |  | 06-17-2020 |
| <b>larri.in. and acoustic near4 model and speech near recognition</b>                                                                                                          | PGPB | 5       | OR | YES |  | 06-17-2020 |
| <b>larri.in. and acoustic near4 model and speech near recognition near word near search</b>                                                                                    | PGPB | 1       | OR | YES |  | 06-17-2020 |
| <b>interface and processor</b>                                                                                                                                                 | USPT | 1062456 | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory)</b>                                                                                                           | USPT | 114     | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory and model)</b>                                                                                                 | USPT | 64      | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory and model) and distance</b>                                                                                    | USPT | 32      | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory and model) and distance and feature near vector</b>                                                            | USPT | 18      | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory and model) and distance near5 calculated and feature near vector</b>                                           | USPT | 7       | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory and model) and distance near5 calculated and feature near vector and integrated near5 circuit</b>              | USPT | 7       | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory and model) and distance near5 calculated and feature near vector and single near5 integrated near5 circuit</b> | USPT | 1       | OR | YES |  | 06-30-2020 |
| <b>interface and processor and acoustic near5 (state and memory and model) and distance near5 calculated and feature near vector and single near5 integrated near5 circuit</b> | PGPB | 3       | OR | YES |  | 06-30-2020 |
| <b>larri.in. and single near integrated near circuit</b>                                                                                                                       | PGPB | 3       | OR | YES |  | 06-30-2020 |
| <b>(interface and processor and acoustic near5</b>                                                                                                                             | USPT | 0       | OR | YES |  | 06-30-2020 |

|                                                                                                                                                                   |      |    |    |     |  |            |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|----|----|-----|--|------------|
| (state and memory and model) and distance near5 calculated and feature near vector and integrated near5 circuit).clm.                                             |      |    |    |     |  |            |
| (interface and processor and acoustic near5 (state and memory and model) and distance near5 calculated and feature near vector and integrated near5 circuit).clm. | PGPB | 0  | OR | YES |  | 06-30-2020 |
| larri.in.                                                                                                                                                         | USPT | 37 | OR | YES |  | 06-30-2020 |
| larri.in. and acoustic near5 coprocessor                                                                                                                          | USPT | 0  | OR | YES |  | 06-30-2020 |
| larri.in. and acoustic and distance and integrated near circuit                                                                                                   | USPT | 4  | OR | YES |  | 06-30-2020 |
| larri.in. and acoustic and distance and integrated near circuit and probabilities                                                                                 | USPT | 4  | OR | YES |  | 06-30-2020 |
| larri.in. and (acoustic and distance and integrated near circuit and probabilities).clm.                                                                          | USPT | 0  | OR | YES |  | 06-30-2020 |

# 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)

22852 759 07/13/2020

FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER  
LLP  
901 NEW YORK AVENUE, NW  
WASHINGTON, DC 20001-4413

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. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 16/058,722      | 08/08/2018  | Guy Larri            | 15372.0002-00000    | 6370             |

TITLE OF INVENTION: SPEECH RECOGNITION CIRCUIT AND METHOD

| 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            | 10/13/2020 |

| EXAMINER             | ART UNIT | CLASS-SUBCLASS |
|----------------------|----------|----------------|
| MCFADDEN, SUSAN IRIS | 2658     | 704-251000     |

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.

FINNEGAN HENDERSON

1

FARABOW GARRETT

2

& DUNNER LLP

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 recording, 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

Zentian Limited

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Cambridge, United Kingdom

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. 06-0916

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 /Wei Yuan/

Date October 9, 2020

Typed or printed name Wei Yuan

Registration No. 71,772

| Electronic Patent Application Fee Transmittal      |                 |                                       |               |                             |
|----------------------------------------------------|-----------------|---------------------------------------|---------------|-----------------------------|
| <b>Application Number:</b>                         |                 | 16058722                              |               |                             |
| <b>Filing Date:</b>                                |                 | 08-Aug-2018                           |               |                             |
| <b>Title of Invention:</b>                         |                 | SPEECH RECOGNITION CIRCUIT AND METHOD |               |                             |
| <b>First Named Inventor/Applicant Name:</b>        |                 | Guy Larri                             |               |                             |
| <b>Filer:</b>                                      |                 | Wei Yuan/Maria Poulakos               |               |                             |
| <b>Attorney Docket Number:</b>                     |                 | 15372.0002-00000                      |               |                             |
| Filed as Small Entity                              |                 |                                       |               |                             |
| <b>Filing Fees for Utility under 35 USC 111(a)</b> |                 |                                       |               |                             |
| <b>Description</b>                                 | <b>Fee Code</b> | <b>Quantity</b>                       | <b>Amount</b> | <b>Sub-Total in USD(\$)</b> |
| <b>Basic Filing:</b>                               |                 |                                       |               |                             |
| <b>Pages:</b>                                      |                 |                                       |               |                             |
| <b>Claims:</b>                                     |                 |                                       |               |                             |
| <b>Miscellaneous-Filing:</b>                       |                 |                                       |               |                             |
| <b>Petition:</b>                                   |                 |                                       |               |                             |
| <b>Patent-Appeals-and-Interference:</b>            |                 |                                       |               |                             |
| <b>Post-Allowance-and-Post-Issuance:</b>           |                 |                                       |               |                             |
| UTILITY APPL ISSUE FEE                             | 2501            | 1                                     | 500           | 500                         |

| Description        | Fee Code | Quantity | Amount | Sub-Total in USD(\$) |
|--------------------|----------|----------|--------|----------------------|
| Extension-of-Time: |          |          |        |                      |
| Miscellaneous:     |          |          |        |                      |
| Total in USD (\$)  |          |          |        | 500                  |

| Electronic Acknowledgement Receipt          |                                       |
|---------------------------------------------|---------------------------------------|
| <b>EFS ID:</b>                              | 40803475                              |
| <b>Application Number:</b>                  | 16058722                              |
| <b>International Application Number:</b>    |                                       |
| <b>Confirmation Number:</b>                 | 6370                                  |
| <b>Title of Invention:</b>                  | SPEECH RECOGNITION CIRCUIT AND METHOD |
| <b>First Named Inventor/Applicant Name:</b> | Guy Larri                             |
| <b>Customer Number:</b>                     | 22852                                 |
| <b>Filer:</b>                               | Wei Yuan/Maria Poulakos               |
| <b>Filer Authorized By:</b>                 | Wei Yuan                              |
| <b>Attorney Docket Number:</b>              | 15372.0002-00000                      |
| <b>Receipt Date:</b>                        | 09-OCT-2020                           |
| <b>Filing Date:</b>                         | 08-AUG-2018                           |
| <b>Time Stamp:</b>                          | 12:13:37                              |
| <b>Application Type:</b>                    | 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                                                                                        | E202009C14144003 |
| Deposit Account                                                                                                |                  |
| Authorized User                                                                                                |                  |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: |                  |

| <b>File Listing:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                             |                                          |                                              |                  |                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|------------------------------------------|----------------------------------------------|------------------|------------------|
| Document Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Document Description        | File Name                                | File Size(Bytes)/ Message Digest             | Multi Part /.zip | Pages (if appl.) |
| 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Issue Fee Payment (PTO-85B) | As_Filed_Issue_Fee_15372_00<br>02_00.pdf | 81006                                        | no               | 1                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                             |                                          | 3646ddef1d7482cd5015970cb3a54f504fc2<br>6560 |                  |                  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                             |                                          |                                              |                  |                  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                             |                                          |                                              |                  |                  |
| 2                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Fee Worksheet (SB06)        | fee-info.pdf                             | 30107                                        | no               | 2                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                             |                                          | 675f225f7e32addf59cddfca4246d6bb3177<br>26f1 |                  |                  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                             |                                          |                                              |                  |                  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                             |                                          |                                              |                  |                  |
| <b>Total Files Size (in bytes):</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                             |                                          | 111113                                       |                  |                  |
| <p><b>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.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b><br/> 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.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b><br/> 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.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b><br/> 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.</p> |                             |                                          |                                              |                  |                  |



# 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](http://www.uspto.gov)

| APPLICATION NO. | ISSUE DATE | PATENT NO. | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|------------|------------|---------------------|------------------|
| 16/058,722      | 11/17/2020 | 10839789   | 15372.0002-00000    | 6370             |

22852 7590 10/28/2020

FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER  
LLP  
901 NEW YORK AVENUE, NW  
WASHINGTON, DC 20001-4413

## 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):

Guy Larri, Cambridge, UNITED KINGDOM;  
Zentian Limited, Cambridge, UNITED KINGDOM  
Mark Catchpole, Cambridge, UNITED KINGDOM;  
Damian Kelly Harris-Dowsett, Coventry, UNITED KINGDOM;  
Timothy Brian Reynolds, Cambridge, UNITED KINGDOM;

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

IR103 (Rev. 10/09)

AO 120 (Rev. 08/10)

|                                                                                                                                                         |                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| <b>TO:</b><br><b>Mail Stop 8</b><br><b>Director of the U.S. Patent and Trademark Office</b><br><b>P.O. Box 1450</b><br><b>Alexandria, VA 22313-1450</b> | <b>REPORT ON THE</b><br><b>FILING OR DETERMINATION OF AN</b><br><b>ACTION REGARDING A PATENT OR</b><br><b>TRADEMARK</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court \_\_\_\_\_ for the Western District of Texas \_\_\_\_\_ on the following

☐ Trademarks or ☒ Patents. ( ☐ the patent action involves 35 U.S.C. § 292.);

|                             |                                |                                                          |
|-----------------------------|--------------------------------|----------------------------------------------------------|
| DOCKET NO.<br>6:22-cv-00123 | DATE FILED<br>2/2/2022         | U.S. DISTRICT COURT<br>for the Western District of Texas |
| PLAINTIFF<br>Zentian Ltd.   |                                | DEFENDANT<br>Amazon.com, Inc.                            |
| PATENT OR<br>TRADEMARK NO.  | DATE OF PATENT<br>OR TRADEMARK | HOLDER OF PATENT OR TRADEMARK                            |
| 1 7,979,277                 | 7/12/2011                      | Zentian Ltd.                                             |
| 2 7,587,319                 | 9/8/2009                       | Zentian Ltd.                                             |
| 3 10,971,140                | 4/6/2021                       | Zentian Ltd.                                             |
| 4 10,062,377                | 8/28/2018                      | Zentian Ltd.                                             |
| 5 10,839,789                | 11/17/2020                     | Zentian Ltd.                                             |

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

|                            |                                                                                                                                                               |                               |
|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| DATE INCLUDED              | INCLUDED BY<br><input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading |                               |
| PATENT OR<br>TRADEMARK NO. | DATE OF PATENT<br>OR TRADEMARK                                                                                                                                | HOLDER OF PATENT OR TRADEMARK |
| 1                          |                                                                                                                                                               |                               |
| 2                          |                                                                                                                                                               |                               |
| 3                          |                                                                                                                                                               |                               |
| 4                          |                                                                                                                                                               |                               |
| 5                          |                                                                                                                                                               |                               |

In the above—entitled case, the following decision has been rendered or judgement issued:

|                    |                   |      |
|--------------------|-------------------|------|
| DECISION/JUDGEMENT |                   |      |
| CLERK              | (BY) DEPUTY CLERK | DATE |

Copy 1—Upon initiation of action, mail this copy to Director Copy 3—Upon termination of action, mail this copy to Director  
 Copy 2—Upon filing document adding patent(s), mail this copy to Director Copy 4—Case file copy

AO 120 (Rev. 08/10)

|                                                                                                                                                         |                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| <b>TO:</b><br><b>Mail Stop 8</b><br><b>Director of the U.S. Patent and Trademark Office</b><br><b>P.O. Box 1450</b><br><b>Alexandria, VA 22313-1450</b> | <b>REPORT ON THE</b><br><b>FILING OR DETERMINATION OF AN</b><br><b>ACTION REGARDING A PATENT OR</b><br><b>TRADEMARK</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court \_\_\_\_\_ for the Western District of Texas \_\_\_\_\_ on the following

☐ Trademarks or ☒ Patents. ( ☐ the patent action involves 35 U.S.C. § 292.);

|                             |                                |                                                          |
|-----------------------------|--------------------------------|----------------------------------------------------------|
| DOCKET NO.<br>6:22-cv-00122 | DATE FILED<br>2/2/2022         | U.S. DISTRICT COURT<br>for the Western District of Texas |
| PLAINTIFF<br>Zentian Ltd.   |                                | DEFENDANT<br>Apple, Inc.                                 |
| PATENT OR<br>TRADEMARK NO.  | DATE OF PATENT<br>OR TRADEMARK | HOLDER OF PATENT OR TRADEMARK                            |
| 1 7,979,277                 | 7/12/2011                      | Zentian Ltd.                                             |
| 2 7,587,319                 | 9/8/2009                       | Zentian Ltd.                                             |
| 3 10,971,140                | 4/6/2021                       | Zentian Ltd.                                             |
| 4 10,062,377                | 8/28/2018                      | Zentian Ltd.                                             |
| 5 10,839,789                | 11/17/2020                     | Zentian Ltd.                                             |

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

|                            |                                                                                                                                                               |                               |
|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| DATE INCLUDED              | INCLUDED BY<br><input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading |                               |
| PATENT OR<br>TRADEMARK NO. | DATE OF PATENT<br>OR TRADEMARK                                                                                                                                | HOLDER OF PATENT OR TRADEMARK |
| 1                          |                                                                                                                                                               |                               |
| 2                          |                                                                                                                                                               |                               |
| 3                          |                                                                                                                                                               |                               |
| 4                          |                                                                                                                                                               |                               |
| 5                          |                                                                                                                                                               |                               |

In the above—entitled case, the following decision has been rendered or judgement issued:

|                    |                   |      |
|--------------------|-------------------|------|
| DECISION/JUDGEMENT |                   |      |
| CLERK              | (BY) DEPUTY CLERK | DATE |

Copy 1—Upon initiation of action, mail this copy to Director Copy 3—Upon termination of action, mail this copy to Director  
 Copy 2—Upon filing document adding patent(s), mail this copy to Director Copy 4—Case file copy