UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF CORRECTION

PATENT NO.	: 9,198,042 B2
APPLICATION NO.	: 13/737748
DATED	: November 24, 2015
INVENTOR(S)	: Raleigh

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In the Claims

In Column 19, Line 40, (the nineteenth line of Claim 1) the word “is” should be deleted

Signed and Sealed this
Twentieth Day of March, 2018

Andrei Iancu
Director of the United States Patent and Trademark Office

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Raleigh	Patent No.: 9,198,042
Serial No.: 13/737,748	Issue Date: November 24, 2015
Filing Date: January 9, 2013	Conf. No.: 5456
Title: Security Techniques for Device Assisted Services	

Commissioner for Patents
Office of Patent Publication
ATTN: Certificate of Correction Branch
P.O. Box 1450
Alexandria, VA 22313-1450

MISCELLANEOUS COMMUNICATION REGARDING CERTIFICATE OF CORRECTION

Applicant/Patentee (hereinafter, "Applicant") respectfully requests that the Office issue a Certificate of Correction for U.S. Patent No. 9,198,042 to correct a typographical error in claim 1. The error being corrected is the Office's error.

Claim 1 - Office's Error

In Applicant's original claims filed on January 9, 2013, a portion of claim 1 recites:

"in response to determining that the particular service policy setting"

But in the issued patent, claim 1 recites:

"**is** in response to determining that the particular service policy setting"

The word "is" should be deleted from the claim.

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Petitioner's Exhibit 1002
Page 000002

CONCLUSION

Applicant respectfully requests issuance of the Certificate of Correction to correct the typographical error in claim 1. The Office is authorized to charge any fee deficiency or credit any overpayment to Deposit Account 50-5876.

Respectfully submitted,

Date: February 8, 2018 By: /James E. Harris/

James E. Harris
Reg. No. 40,013
Patent Counsel
Headwater Research LLC
1011 Pruitt Place
Tyler, TX 75703
(903) 201-6212

CERTIFICATE OF ELECTRONIC TRANSMISSION

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being filed electronically via EFS-Web addressed to the Commissioner for Patents on:

Date: Feb. 9, 2018 By: /Ann Taylor/
Ann Taylor

IPR2024-00809
Petitioner's Exhibit 1002
Page 000003

PTO/SB/44 (09-07)
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(Also Form PTO-1050)

UNITED STATES PATENT AND TRADEMARK OFFICE
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PATENT NO. : 9,198,042

APPLICATION NO.: 13/737,748

ISSUE DATE : November 24, 2015

INVENTOR(S) : Raleigh

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In column 19, line 40, (the nineteenth line of claim 1) the word "is" should be deleted

MAILING ADDRESS OF SENDER (Please do not use customer number below):

Headwater Research LLC
1011 Pruitt Place
Tyler, TX 75703

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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

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

Electronic Acknowledgement Receipt

EFS ID:	31751557
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	09-FEB-2018
Filing Date:	09-JAN-2013
Time Stamp:	14:41:22
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Certificate of Correction	P025C1_ReqforCoC.pdf	60213 cabc1594351fda3ebe0018997ab41a9dcb77a4f3	no	2

Warnings:

Information:					
2	Request for Certificate of Correction	P025C1_COCForm.pdf	164011 2992b232ab643f6db3f715f0253d71ef72b87df3	no	2
Warnings:					
Information:					
			Total Files Size (in bytes):	224224	

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

New Applications Under 35 U.S.C. 111

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

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

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

New International Application Filed with the USPTO as a Receiving Office

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

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Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/737,748	11/24/2015	9198042	RALEP025C1	5456

106963 7590 11/04/2015

Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

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 451 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):

Gregory G. Raleigh, Woodside, CA;
HEADWATER PARTNERS I, LLC, Redwood Shores, CA

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1	5456

106963 7590 10/29/2015

Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

EXAMINER	
RUDY, ANDREW J	

ART UNIT	PAPER NUMBER
3687	

NOTIFICATION DATE	DELIVERY MODE
10/29/2015	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):

patent@headwaterllc.com
krista@jacobseniplaw.com

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Petitioner's Exhibit 1002
Page 000009

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U.S. Patent and Trademark Office
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Alexandria, Virginia 22313-1450

APPLICATION NO./ CONTROL NO.	FILING DATE	FIRST NAMED INVENTOR / PATENT IN REEXAMINATION	ATTORNEY DOCKET NO.
13/737,748	09 January, 2013	RALEIGH, GREGORY G.	RALEP025C1

Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

EXAMINER	
ANDREW JOSEPH RUDY	
ART UNIT	PAPER
3687	20151024

DATE MAILED:

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Commissioner for Patents

Applicant's two Information Disclosure Statements (IDS's) submitted October 9, 2015 have been reviewed. Note the attached IDS's.

/ANDREW JOSEPH RUDY/
Primary Examiner
Art Unit: 3687

PTO-90C (Rev.04-03)

PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

U.S.PATENTS						Remove
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5974439	A	1999-10-26	Bollella, Gregory	
	2	6393014	B1	2002-05-21	Daly et al.	
	3	6397259	B1	2002-05-28	Lincke et al.	
	4	6882718	B1	2005-04-19	Smith, Benjamin V.	
	5	8966018	B2	2015-02-24	Bugwadia et al.	
	6	7047276	B2	2006-05-16	Liu et al.	
	7	7058022	B1	2006-06-06	Carolan et al.	
	8	7149521	B2	2006-12-12	Sundar et al.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /A.R./

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	Art Unit	3687
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	Attorney Docket Number	RALEP025C1

	9	7200112	B2	2007-04-03	Sundar et al.	
	10	7266371	B1	2007-09-04	Amin et al.	
	11	7366654	B2	2008-04-29	Moore, Robert C.	
	12	7391724	B2	2008-06-24	Alakoski et al.	
	13	7395244	B1	2008-07-01	Kingsford, Bryan	
	14	7411930	B2	2008-08-12	Montojo et al.	
	15	7508799	B2	2009-03-24	Sumner et al.	
	16	7554983	B1	2009-06-30	Muppala, Suresh	
	17	7564799	B2	2009-07-21	Holland et al.	
	18	7627767	B2	2009-12-01	Sherman et al.	
	19	7849161	B2	2010-12-07	Koch et al.	

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	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	20	7849477	B2	2010-12-07	Cristofalo et al.	
	21	7894431	B2	2011-02-22	Goring et al.	
	22	7978686	B2	2011-07-12	Goyal et al.	
	23	7987496	B2	2011-07-26	Bryce et al.	
	24	8073427	B2	2011-12-06	Koch et al.	
	25	8190122	B1	2012-05-29	Alexander et al.	
	26	9002342	B2	2015-04-07	Tenhunen et al.	
	27	8503455	B2	2013-08-06	Heikens, Heico	
	28	RE44412		2013-08-06	Naqvi et al.	
	29	8522337	B2	2013-08-27	Adusumilli et al.	
	30	8527662	B2	2013-09-03	Biswas et al.	

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	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	31	8572256	B2	2013-10-29	Babbar, Uppinder Singh	
	32	8644813	B1	2014-02-04	Gailloux et al.	

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20040260766	A1	2004-12-23	Barros et al.	
	2	20050041617	A1	2005-02-24	Huotari et al.	
	3	20060095517	A1	2006-05-04	O'Connor et al.	
	4	20080018494	A1	2008-01-24	Waite et al.	
	5	20080034063	A1	2008-02-07	Yee, Robert	

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

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

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

Examiner Signature	/Andrew Joseph Rudy/	Date Considered	10/24/2015

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

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

PTO/SB/08a (01-10)
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	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025C1

U.S.PATENTS						Remove
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
/A.R./	1	7860088		2010-12-28	Lioy, Marcello	
If you wish to add additional U.S. Patent citation information please click the Add button.						Add

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
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Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

IPR2024-00809
Petitioner's Exhibit 1002
Page 000016

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025C1

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EXAMINER SIGNATURE

Examiner Signature	/Andrew Joseph Rudy/	Date Considered	10/24/2015

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

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

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United States Patent and Trademark Office
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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	TOT CLAIMS	IND CLAIMS
13/737,748	01/09/2013	3687	533	RALEP025C1	20	3

CONFIRMATION NO. 5456

CORRECTED FILING RECEIPT

106963
Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

OC000000078034501

Date Mailed: 10/15/2015

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)

Gregory G. Raleigh, Woodside, CA;

Applicant(s)

HEADWATER PARTNERS I, LLC, Redwood Shores, CA

Assignment For Published Patent Application

Headwater Partners I, LLC, Redwood Shores, CA

Power of Attorney: The patent practitioners associated with Customer Number 106963

Domestic Priority data as claimed by applicant

This application is a CON of 12/694,445 01/27/2010 PAT 8391834 *
which is a CON of 12/380,780 03/02/2009 PAT 8839388
which claims benefit of 61/206,354 01/28/2009
and said 12/694,445 01/27/2010
claims benefit of 61/206,354 01/28/2009
and claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
and claims benefit of 61/252,151 10/15/2009
and said 12/380,780 03/02/2009
claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
(*)Data provided by applicant is not consistent with PTO records.

Foreign Applications for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see http://www.uspto.gov for more information.) - None.

IPR2024-00809
Petitioner's Exhibit 1002
Page 000018

Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.

Permission to Access - A proper **Authorization to Permit Access to Application by Participating Offices** (PTO/SB/39 or its equivalent) has been received by the USPTO.

If Required, Foreign Filing License Granted: 02/22/2013

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 13/737,748**

Projected Publication Date: Not Applicable

Non-Publication Request: No

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

Security Techniques For Device Assisted Services

Preliminary Class

726

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

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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.

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

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Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

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

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Andrew J RUDY
Attorney Docket Number	RALEP025C1

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5974439	A	1999-10-26	Bollella, Gregory	
	2	6393014	B1	2002-05-21	Daly et al.	
	3	6397259	B1	2002-05-28	Lincke et al.	
	4	6882718	B1	2005-04-19	Smith, Benjamin V.	
	5	8966018	B2	2015-02-24	Bugwadia et al.	
	6	7047276	B2	2006-05-16	Liu et al.	
	7	7058022	B1	2006-06-06	Carolan et al.	
	8	7149521	B2	2006-12-12	Sundar et al.	

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	9	7200112	B2	2007-04-03	Sundar et al.	
	10	7266371	B1	2007-09-04	Amin et al.	
	11	7366654	B2	2008-04-29	Moore, Robert C.	
	12	7391724	B2	2008-06-24	Alakoski et al.	
	13	7395244	B1	2008-07-01	Kingsford, Bryan	
	14	7411930	B2	2008-08-12	Montojo et al.	
	15	7508799	B2	2009-03-24	Sumner et al.	
	16	7554983	B1	2009-06-30	Muppala, Suresh	
	17	7564799	B2	2009-07-21	Holland et al.	
	18	7627767	B2	2009-12-01	Sherman et al.	
	19	7849161	B2	2010-12-07	Koch et al.	

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	20	7849477	B2	2010-12-07	Cristofalo et al.	
	21	7894431	B2	2011-02-22	Goring et al.	
	22	7978686	B2	2011-07-12	Goyal et al.	
	23	7987496	B2	2011-07-26	Bryce et al.	
	24	8073427	B2	2011-12-06	Koch et al.	
	25	8190122	B1	2012-05-29	Alexander et al.	
	26	9002342	B2	2015-04-07	Tenhunen et al.	
	27	8503455	B2	2013-08-06	Heikens, Heico	
	28	RE44412		2013-08-06	Naqvi et al.	
	29	8522337	B2	2013-08-27	Adusumilli et al.	
	30	8527662	B2	2013-09-03	Biswas et al.	

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	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	31	8572256	B2	2013-10-29	Babbar, Uppinder Singh	
	32	8644813	B1	2014-02-04	Gailloux et al.	

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20040260766	A1	2004-12-23	Barros et al.	
	2	20050041617	A1	2005-02-24	Huotari et al.	
	3	20060095517	A1	2006-05-04	O'Connor et al.	
	4	20080018494	A1	2008-01-24	Waite et al.	
	5	20080034063	A1	2008-02-07	Yee, Robert	

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

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	Attorney Docket Number	RALEP025C1

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Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
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[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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CERTIFICATION STATEMENT

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

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

OR

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

☐ See attached certification statement.

☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☐ None

SIGNATURE

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

Signature	/James E. Harris/	Date (YYYY-MM-DD)	2015-10-08
Name/Print	James E. Harris	Registration Number	40013

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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

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

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

PTO/SB/08a (01-10)
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	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025C1

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	7860088		2010-12-28	Lioy, Marcello	
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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Petitioner's Exhibit 1002
Page 000029

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Petitioner's Exhibit 1002
Page 000032

Electronic Patent Application Fee Transmittal

Application Number:	13737748
Filing Date:	09-Jan-2013
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	James E. Harris/Ann Taylor
Attorney Docket Number:	RALEP025C1

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

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

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Submission- Information Disclosure Stmt	2806	1	90	90
		Total in USD ($)		**90**

Electronic Acknowledgement Receipt	
EFS ID:	23748328
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	09-OCT-2015
Filing Date:	09-JAN-2013
Time Stamp:	19:00:57
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$90
RAM confirmation Number	4582
Deposit Account	505876
Authorized User	TAYLOR, ANN
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	Information Disclosure Statement (IDS) Form (SB08)	P025C1_IDS1.pdf	612912 9ffc8770eb1ffb6884d3d463bc5bea9710c9e26f	no	7
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	P025C1_IDS2.pdf	611865 954e0e54e916f145443508d8665a88202debf7e2	no	4
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30380 8b0c65bc02e16fed7436b63706b6157a65bbc987	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	1255157		

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.

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: Mail **Mail Stop ISSUE FEE**
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
or Fax (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

106963 7590 10/08/2015
Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission
I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

Ann Taylor	(Depositor's name)
	(Signature)
October 9, 2015	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1	5456

TITLE OF INVENTION: Security Techniques For Device Assisted Services

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	01/08/2016

EXAMINER	ART UNIT	CLASS-SUBCLASS
RUDY, ANDREW J	3687	726-001000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).
- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list
(1) The names of up to 3 registered patent attorneys or agents OR, alternatively,
(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 James E. Harris
2
3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE: Headwater Partners I LLC

(B) RESIDENCE: (CITY and STATE OR COUNTRY): Redwood City, CA

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

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

4b. Payment of Fee(s): **(Please first reapply any previously paid issue fee shown above)**
- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☒ The director is hereby authorized to charge the required fee(s), any deficiency, or credits any overpayment, to Deposit Account Number 505876 (enclose an extra copy of this form).

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

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

Authorized Signature _____ Date October 8, 2015

Typed or printed name James E. Harris Registration No. 40013

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

IPR2024-00809
Petitioner's Exhibit 1002
Page 000037

Electronic Patent Application Fee Transmittal

Application Number:	13737748
Filing Date:	09-Jan-2013
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	James E. Harris/Ann Taylor
Attorney Docket Number:	RALEP025C1

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Utility Appl Issue Fee	2501	1	480	480

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension-of-Time:				
Miscellaneous:				
		Total in USD ($)		**480**

Electronic Acknowledgement Receipt	
EFS ID:	23748673
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	09-OCT-2015
Filing Date:	09-JAN-2013
Time Stamp:	19:30:05
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$480
RAM confirmation Number	4849
Deposit Account	505876
Authorized User	TAYLOR, ANN
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees) Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)	

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Issue Fee Payment (PTO-85B)	P025C1_IssueFee.pdf	390703 678b1ccfb48b3819aeee990c9d34b1f03e4007ad	no	1
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30322 b978770cd832e8fcf575875dd6de7b2b06b13e21	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	421025		

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

New Applications Under 35 U.S.C. 111
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New International Application Filed with the USPTO as a Receiving Office
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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

NOTICE OF ALLOWANCE AND FEE(S) DUE

106963 7590 10/08/2015

Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

EXAMINER
RUDY, ANDREW J

ART UNIT	PAPER NUMBER
3687	

DATE MAILED: 10/08/2015

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1	5456

TITLE OF INVENTION: Security Techniques For Device Assisted Services

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	01/08/2016

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

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

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

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

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

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

IPR2024-00809
Petitioner's Exhibit 1002
Page 000042

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: Mail **Mail Stop ISSUE FEE**
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
or Fax (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

106963 7590 10/08/2015
Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission
I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1	5456

TITLE OF INVENTION: Security Techniques For Device Assisted Services

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	$480	$0	$0	$480	01/08/2016

EXAMINER	ART UNIT	CLASS-SUBCLASS
RUDY, ANDREW J	3687	726-001000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).
- ❑ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ❑ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list
(1) The names of up to 3 registered patent attorneys or agents OR, alternatively,
(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.
1 _____
2 _____
3 _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ❑ Individual ❑ Corporation or other private group entity ❑ Government

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

4b. Payment of Fee(s): **(Please first reapply any previously paid issue fee shown above)**
- ❑ A check is enclosed.
- ❑ Payment by credit card. Form PTO-2038 is attached.
- ❑ The director is hereby authorized to charge the required fee(s), any deficiency, or credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

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

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

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

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

IPR2024-00809
Petitioner's Exhibit 1002
Page 000043

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.
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1	5456

106963 7590 10/08/2015

Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

EXAMINER	
RUDY, ANDREW J	

ART UNIT	PAPER NUMBER
3687	

DATE MAILED: 10/08/2015

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.

PTOL-85 (Rev. 02/11)

IPR2024-00809
Petitioner's Exhibit 1002
Page 000044

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

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

The information collected by PTOL-85 Part B is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Privacy Act Statement

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

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

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

Notice of Allowability	Application No. 13/737,748	Applicant(s) RALEIGH, GREGORY G.	
	Examiner ANDREW JOSEPH RUDY	Art Unit 3687	AIA (First Inventor to File) Status No

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

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to *the 02 September 2015 Amendment*.
   ☐ 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 *1-18*. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov .
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   Certified copies:

   a) ☐ All b) ☐ Some *c) ☐ None of the:
   1. ☐ Certified copies of the priority documents have been received.
   2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
   3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.

   Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☒ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date _____
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
4. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
5. ☒ Examiner's Amendment/Comment
6. ☒ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

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DETAILED ACTION

Notice of Pre-AIA or AIA Status

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

Response to Amendment

2. Applicant's election without traverse of Group I, claims 1-18, in the reply filed on September 2, 2015 is acknowledged.

EXAMINER'S AMENDMENT

3. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with James E. Harris (Reg. No. 40,013) on September 29, 2015.

The application has been amended as follows: Non-elected claims 19 and 20 have been cancelled.

4. Further pertinent references of interest are noted on the attached PTO-892.

5. Applicant's seventeen (17) Information Disclosure Statements (IDS's) submitted have been reviewed. Note the attached IDS's.

Allowable Subject Matter

6. Claims 1-18 are allowed.

The following is an examiner's statement of reasons for allowance: Claims 1-18 are allowed as the prior art, either alone or in combination, does not disclose Applicant's inventive claim language. It is noted that the claims have been reviewed in light of Alice Corporation Pty. Ltd. v. CLS Bank International, et al., 573 U. S. ___ (2014). The claims are not drawn to an abstract idea.

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

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to ANDREW JOSEPH RUDY whose telephone number is (571)272-6789. The examiner can normally be reached on Monday thru Friday.

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.

/ANDREW JOSEPH RUDY/
Primary Examiner
Art Unit 3687

Notice of References Cited	Application/Control No. 13/737,748	Applicant(s)/Patent Under Reexamination RALEIGH, GREGORY G.	
	Examiner ANDREW JOSEPH RUDY	Art Unit 3687	Page 1 of 1

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*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
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	M	US-				

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

NON-PATENT DOCUMENTS

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

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

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

PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99**)		
	Application Number	13737748
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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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

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

U.S.PATENT APPLICATION PUBLICATIONS						
Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	2	20020120540		2002-08-29	KENDE et al.	
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	5	20020176377		2002-11-28	HAMILTON, Thomas E.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /A.R./

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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	RALEP025C1

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	Art Unit	3687
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Filing Date	2013-01-09
First Named Inventor	Raleigh, Gregory G.
Art Unit	2431
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

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	2	6947723		2005-09-20	Gurnani, Roger et al.	
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Art Unit	3687
Examiner Name	Andrew J RUDY
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	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

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	2	"ASA/PIX: Allow Split Tunneling for VPN Clients on the ASA Configuration Example," Document ID 70917, January 10, 2008	☐

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	Attorney Docket Number	RALEP025C1

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	18	8155670		2012-04-10	Fullam, Scott et al.	
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Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Andrew J RUDY
Attorney Docket Number	RALEP025C1

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Art Unit	2642
Examiner Name	not yet assigned
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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

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BIB DATA SHEET

CONFIRMATION NO. 5456

SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
13/737,748	01/09/2013 RULE	726	3687	RALEP025C1

APPLICANTS
HEADWATER PARTNERS I, LLC, Redwood Shores, CA

INVENTORS
Gregory G. Raleigh, Woodside, CA;

**** CONTINUING DATA **************************
This application is a CON of 12/694,445 01/27/2010 PAT 8391834 *
which is a CIP of 12/380,780 03/02/2009 PAT 8839388
which claims benefit of 61/206,354 01/28/2009
and said 12/694,445 01/27/2010
claims benefit of 61/206,354 01/28/2009
and claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
and claims benefit of 61/252,151 10/15/2009
and said 12/380,780 03/02/2009
claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
(*)Data provided by applicant is not consistent with PTO records.

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

**** IF REQUIRED, FOREIGN FILING LICENSE GRANTED **** ** SMALL ENTITY **
02/22/2013

Foreign Priority claimed ☐ Yes ☑ No 35 USC 119(a-d) conditions met ☐ Yes ☑ No Verified and Acknowledged /ANDREW JOSEPH RUDY/ Examiner's Signature	☐ Met after Allowance Initials	STATE OR COUNTRY	SHEETS DRAWINGS	TOTAL CLAIMS	INDEPENDENT CLAIMS
		CA	11	20	3

ADDRESS
Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065
UNITED STATES

TITLE
Security Techniques For Device Assisted Services

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

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Page 000176

Search Notes

Application/Control No.	Applicant(s)/Patent under Reexamination	
13/737,748	RALEIGH, GREGORY G.	
Examiner	**Art Unit**	
ANDREW JOSEPH RUDY	3687	

SEARCHED			
Class	Subclass	Date	Examiner
455	405,406, 411,414.1, 417,432.1	9/29/2015	AJR
370	352,354	9/29/2015	AJR
709	203,217	9/29/2015	AJR
709	219,223	9/29/2015	AJR
726	1,26	9/29/2015	AJR
705	28,30	9/29/2015	AJR
H04M	2215/32	9/29/2015	AJR
H04L	63/20	9/29/2015	AJR

INTERFERENCE SEARCHED			
Class	Subclass	Date	Examiner
726	**1**	**9/29/2015**	**AJR**
455	405,414.1	9/29/2015	AJR

SEARCH NOTES (INCLUDING SEARCH STRATEGY)		
	DATE	EXMR
Continuity data reviewed.	9/24/2015	AJR

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	ANDREW JOSEPH RUDY	3687

CPC							
Symbol						**Type**	**Version**
H04W		12	/	08		F	2013-01-01
G06F		21	/	53		I	2013-01-01
G06F		21	/	55		I	2013-01-01
G06F		2221	/	2101		A	2013-01-01
G06F		2221	/	2115		A	2013-01-01
G06F		2221	/	2149		A	2013-01-01
H04L		63	/	0428		I	2013-01-01
H04L		63	/	145		A	2013-01-01
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CPC Combination Sets								
Symbol					**Type**	**Set**	**Ranking**	**Version**
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NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	18	
/ANDREW JOSEPH RUDY/ Primary Examiner.Art Unit 3687		O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	4

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	Examiner	**Art Unit**
	ANDREW JOSEPH RUDY	3687

US ORIGINAL CLASSIFICATION		INTERNATIONAL CLASSIFICATION	
CLASS	SUBCLASS	CLAIMED	NON-CLAIMED
726	1	H 0 4 L 29 / 06 (2006.01.01)	
		H 0 4 M 11 / 00 (2006.01.01)	

CROSS REFERENCE(S)					
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)				
455	405				

NONE	Total Claims Allowed:	
(Assistant Examiner) (Date)	18	
/ANDREW JOSEPH RUDY/ Primary Examiner.Art Unit 3687	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner) (Date)	1	4

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Page 000179

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	13737748	RALEIGH, GREGORY G.
	Examiner	**Art Unit**
	ANDREW JOSEPH RUDY	3687

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

Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	1	17	17												
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14	14														
15	15														
16	16														

NONE (Assistant Examiner) (Date)	**Total Claims Allowed:** 18	
/ANDREW JOSEPH RUDY/ Primary Examiner.Art Unit 3687 (Primary Examiner) (Date)	O.G. Print Claim(s) 1	O.G. Print Figure 4

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Examiner Name	Andrew J RUDY
Attorney Docket Number	RALEP025C1

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	"Ads and movies on the run," the Gold Coast Bulletin, Southport, Qld, Jan. 29, 2008	☐
	2	"Jentro Technologies launches Zenlet platform to accelerate location-based content delivery to mobile devices," The Mobile Internet, Boston, MA, Feb. 2008	☐
	3	Jing et al., "Client-Server Computing in Mobile Environments," GTE Labs. Inc., Purdue University, ACM Computing Surveys, Vol. 31, No. 2, June 1999	☐
	4	Kim, "Free wireless a high-wire act; MetroFi needs to draw enough ads to make service add profits," San Francisco Chronicle, Aug. 21, 2006	☐
	5	Koutsopoulou et al., "Charging, Accounting and Billing Management Schemes In Mobile Telecommunication Networks and the Internet," IEEE Communications Surveys & Tutorials, First Quarter 2004, Vol. 6, No. 1	☐
	6	Loopt User Guide, metroPCS, 7/17/2008	☐
	7	Nuzman et al., "A compund model for TCP connection arrivals for LAN and WAN applications," Oct. 22, 2002	☐

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	8	Richtel, "Cellphone consumerism; If even a debit card is too slow, now you have a new way to act on impulse: [National Edition]," National Post, Canada, Oct. 2, 2007	☐
	9	Rivadeneyra et al., "A communication architecture to access data services through GSM," San Sebastian, Spain, 1998	☐
	10	Sabat, "The evolving mobile wireless value chain and market structure," Nov. 2002	☐
	11	Sun et al., "Towards Connectivity Management Adaptability: Context Awareness in Policy Representation and End-to-end Evaluation Algorithm," Dept. of Electrical and Information Engineering, Univ. of Oulu, Finland, 2004	☐

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

OR

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

☐ See attached certification statement.

☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☐ None

SIGNATURE

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

Signature	/James E. Harris/	Date (YYYY-MM-DD)	2015-09-17
Name/Print	James E. Harris	Registration Number	40013

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

IPR2024-00809
Petitioner's Exhibit 1002
Page 000194

Electronic Patent Application Fee Transmittal

Application Number:	13737748
Filing Date:	09-Jan-2013
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	James E. Harris/Ann Taylor
Attorney Docket Number:	RALEP025C1

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

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

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Submission- Information Disclosure Stmt	2806	1	90	90
		Total in USD ($)		**90**

Electronic Acknowledgement Receipt	
EFS ID:	23540111
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	18-SEP-2015
Filing Date:	09-JAN-2013
Time Stamp:	16:17:22
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$90
RAM confirmation Number	2918
Deposit Account	505876
Authorized User	TAYLOR, ANN
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	Information Disclosure Statement (IDS) Form (SB08)	P025C1.pdf	614944 0fdf60e90a7811f44c40c255fbac365939a9c74d	no	11
Warnings:					
Information:					
2	Foreign Reference	2066_Fujitsu.pdf	856885 72e75495c5d83e30e4fbefee0e38a1bb25a5405f	no	22
Warnings:					
Information:					
3	Foreign Reference	2067_Kyocera.pdf	641903 024bbc366c4ffca0d6206fd9400790e51cab71c3	no	27
Warnings:					
Information:					
4	Foreign Reference	2068_Citrix.pdf	14110049 6b5308424d6052f222f99c6297e0f2cd005b02d2	no	118
Warnings:					
Information:					
5	Foreign Reference	2069_CN1508734A.pdf	3021193 c8818fe2ac00cd927bb1eb76517cffb16566e7c4	no	24
Warnings:					
Information:					
6	Foreign Reference	2070_CA2688553.pdf	2542550 eaac858569669488781074475 9dc83d1126bb215	no	72
Warnings:					
Information:					
7	Foreign Reference	2071_EP1850575A1.pdf	306349 f0b875706a2088fd443e7a61ffec5c6632823551	no	18
Warnings:					
Information:					

8	Non Patent Literature	3044_Jing.pdf	233308 23bf275a591ba14bba9ea0e8edf96ff232de6df3	no	41
Warnings:					
Information:					
9	Non Patent Literature	3045_Rivadeneyra.pdf	140975 e344ac7c8eee7e286c50068b497b45c8a4dbefbe	no	11
Warnings:					
Information:					
10	Non Patent Literature	3046_loopt.pdf	380265 711a9ba25d7f71b9274655d90ad2022e3b79c85c	no	17
Warnings:					
Information:					
11	Non Patent Literature	3047_MobilInternet.pdf	168840 0ed6b3905753995265d6ebaf790a5696b8b5efb3	no	3
Warnings:					
Information:					
12	Non Patent Literature	3048_GoldCoast.pdf	164580 e7407b7a4570d9ebfc790e44249d0cdb07f36182	no	2
Warnings:					
Information:					
13	Non Patent Literature	3049_Richtel.pdf	92162 6eecd8013a6328084fb9f16f25afc3b9619c9dee	no	3
Warnings:					
Information:					
14	Non Patent Literature	3050_Kim.pdf	94063 d57c26581b209a675dcd915b2be9c9e56a005a1f	no	4
Warnings:					
Information:					
15	Non Patent Literature	3051_Koutsopoulou.pdf	113527 7992fa4c1d1306edb1de247f743fd1ce8b1f3e7d	no	9
Warnings:					
Information:					
16	Non Patent Literature	3052_Sun.pdf	102743 66e9aab3798130ba2a58b46d24cec206617531de	no	8
Warnings:					
Information:					

17	Non Patent Literature	3053_Sabat.pdf	389581 c6862777fa3e8b3a13a7509f02610e154cf4299d	no	31
Warnings:					
Information:					
18	Non Patent Literature	3054_Nuzman.pdf	580822 f0c09248f7c9794a5ea827b4d574c4971982 3113	no	19
Warnings:					
Information:					
19	Fee Worksheet (SB06)	fee-info.pdf	30380 676206613d7cea2db0f864574ef8f5950196 9461	no	2
Warnings:					
Information:					
			Total Files Size (in bytes):	24585119	

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

New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

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

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Raleigh	Examiner:	Rudy, Andrew J.
Serial No.:	13/737,748	Art Unit:	3687
Filed:	January 9, 2013	Conf. No.:	5456
Title:	Security Techniques for Device Assisted Services		

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

RESPONSE TO RESTRICTION REQUIREMENT

In response to the Restriction Requirement dated July 10, 2015, the deadline for response being September 10, 2015, Applicant elects claims 1-18 (Group I), without traverse. If the Examiner has any questions or needs any additional information, the Examiner is invited to contact the undersigned.

Respectfully submitted,

Date: September 1, 2015

By: /James E. Harris/

James E. Harris
Reg. No. 40,013
Patent Counsel
Headwater Partners I LLC
555 Twin Dolphin Dr., Suite 310
Redwood Shores, CA 94065
(650) 517-2798

CERTIFICATE OF ELECTRONIC TRANSMISSION

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being filed electronically via EFS-Web addressed to the Commissioner for Patents on:

Date: Sept. 1, 2015 By: /Ann Taylor/
Ann Taylor

IPR2024-00809
Petitioner's Exhibit 1002
Page 000201

Electronic Acknowledgement Receipt

EFS ID:	23377043
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	02-SEP-2015
Filing Date:	09-JAN-2013
Time Stamp:	02:05:44
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Response to Election / Restriction Filed	P025C1_RRR.pdf	55213 13d05ea0d0b99d9d8fafa498abff086c857ce98c	no	1

Warnings:	
Information:	

Total Files Size (in bytes):	55213

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New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

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

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1	5456

106963 7590 07/10/2015

Headwater Partners I LLC
555 Twin Dolphin Drive, Suite 310
Redwood Shores, CA 94065

EXAMINER	
RUDY, ANDREW J	

ART UNIT	PAPER NUMBER
3687	

NOTIFICATION DATE	DELIVERY MODE
07/10/2015	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):

patent@headwaterllc.com
krista@jacobseniplaw.com

IPR2024-00809
Petitioner's Exhibit 1002
Page 000204

Office Action Summary	Application No. 13/737,748	Applicant(s) RALEIGH, GREGORY G.	
	Examiner ANDREW JOSEPH RUDY	Art Unit 3687	AIA (First Inventor to File) Status No

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

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE *2* MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

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

Status

1)☒ Responsive to communication(s) filed on *09 January 2013*.

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

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

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

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

Disposition of Claims*

5)☒ Claim(s) *1-20* is/are pending in the application.

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

6)☐ Claim(s) _____ is/are allowed.

7)☐ Claim(s) _____ is/are rejected.

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

9)☒ Claim(s) *1-20* are subject to restriction and/or election requirement.

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

Application Papers

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

11)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

Priority under 35 U.S.C. § 119

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

Certified copies:

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

Attachment(s)

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

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

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

4) ☐ Other: _____.

IPR2024-00809
Petitioner's Exhibit 1002
Page 000205

DETAILED ACTION

Notice of Pre-AIA or AIA Status

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

Election/Restrictions

2. Restriction to one of the following inventions is required under 35 U.S.C. 121:

I. Claims 1-18, drawn to a method, classified in 726/1.

II. Claim 19, drawn to a system, classified in 709/224.

III. Claim 20, drawn to a wireless device, classified in 455/414.1.

3. The inventions are distinct, each from the other because of the following reasons:

Inventions Group I and Groups II, III are related as process and apparatus for its practice. The inventions are distinct if it can be shown that either: (1) the process as claimed can be practiced by another and materially different apparatus or by hand, or (2) the apparatus as claimed can be used to practice another and materially different process. (MPEP § 806.05(e)). In this case the process may be practiced by a different apparatus that does not include the particular service policy setting needs.

4. Restriction for examination purposes as indicated is proper because all these inventions listed in this action are independent or distinct for the reasons given above

and there would be a serious search and/or examination burden if restriction were not required because one or more of the following reasons apply:

The process may be practiced by a materially different apparatus.

Applicant is advised that the reply to this requirement to be complete must include (i) an election of an invention to be examined even though the requirement may be traversed (37 CFR 1.143) **and (ii) identification of the claims encompassing the elected invention**.

The election of an invention may be made with or without traverse. To reserve a right to petition, the election must be made with traverse. If the reply does not distinctly and specifically point out supposed errors in the restriction requirement, the election shall be treated as an election without traverse. Traversal must be presented at the time of election in order to be considered timely. Failure to timely traverse the requirement will result in the loss of right to petition under 37 CFR 1.144. If claims are added after the election, applicant must indicate which of these claims are readable upon the elected invention.

Should applicant traverse on the ground that the inventions are not patentably distinct, applicant should submit evidence or identify such evidence now of record showing the inventions to be obvious variants or clearly admit on the record that this is the case. In either instance, if the examiner finds one of the inventions unpatentable over the prior art, the evidence or admission may be used in a rejection under 35 U.S.C. 103 or pre-AIA 35 U.S.C. 103(a) of the other invention.

5. The examiner has required restriction between product or apparatus claims and process claims. Where applicant elects claims directed to the product/apparatus, and all product/apparatus claims are subsequently found allowable, withdrawn process claims that include all the limitations of the allowable product/apparatus claims should be considered for rejoinder. All claims directed to a nonelected process invention must include all the limitations of an allowable product/apparatus claim for that process invention to be rejoined.

In the event of rejoinder, the requirement for restriction between the product/apparatus claims and the rejoined process claims will be withdrawn, and the rejoined process claims will be fully examined for patentability in accordance with 37 CFR 1.104. Thus, to be allowable, the rejoined claims must meet all criteria for patentability including the requirements of 35 U.S.C. 101, 102, 103 and 112. Until all claims to the elected product/apparatus are found allowable, an otherwise proper restriction requirement between product/apparatus claims and process claims may be maintained. Withdrawn process claims that are not commensurate in scope with an allowable product/apparatus claim will not be rejoined. See MPEP § 821.04. Additionally, in order for rejoinder to occur, applicant is advised that the process claims should be amended during prosecution to require the limitations of the product/apparatus claims. **Failure to do so may result in no rejoinder.** Further, note that the prohibition against double patenting rejections of 35 U.S.C. 121 does not apply

where the restriction requirement is withdrawn by the examiner before the patent issues. See MPEP § 804.01.

6. A telephone call was made to Krista Jacobsen (Reg. No. 59,374) on July 6, 2015 to request an oral election to the above restriction requirement, but did not result in an election being made.

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to ANDREW JOSEPH RUDY whose telephone number is (571)272-6789. The examiner can normally be reached on Monday thru Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Matthew S. Gart can be reached on 571-272-3955. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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/ANDREW JOSEPH RUDY/

Primary Examiner

Art Unit 3687

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6438575	B1	2002-08-20	Khan et al.	
	2	6578076	B1	2003-06-10	Putzolu, David Matthew	
	3	6697821	B2	2004-02-24	Ziff et al.	
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	10	7260382	B1	2007-08-21	Lamb et al.	
	11	7271765	B2	2007-09-18	Stilp et al.	
	12	7318111	B2	2008-01-08	Zhao, Wen	
	13	7561899	B2	2009-07-14	Lee, Changseok	
	14	7627872	B2	2009-12-01	Hebeler et al.	
	15	7684370	B2	2010-03-23	Kezys, Vytautas Robertas	
	16	7685530	B2	2010-03-23	Sherrard et al.	
	17	7760137	B2	2010-07-20	Martucci et al.	
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	20	7936736	B2	2011-05-03	Proctor, Jr. et al.	
	21	7937450	B2	2011-05-03	Janik, Craig M.	
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	1	20040259534	A1	2004-12-23	Chaudhari et al.	
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	11	20090197612	A1	2009-08-06	Kiiskinen, Arto	
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	1	101080055	CN	A	2007-11-28	Tencent Technology (Shenzhen) Co., Ltd.		☐
	2	101335666	CN	A	2008-12-31	Hangzhou H3C Technologies Co., Ltd.		☐
	3	101815275A	CN	A	2010-08-25	Yang, Liu		☐
	4	1567818	CN	A	2005-01-19	Huawei Tech. Co. Ltd.		☐

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	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	5	1801829A	CN		2006-07-12	Kunda Computer Technology (Kunshan) Co., Ltd.		☐
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	1	Ahmed et al., "A Context-Aware Vertical Handover Decision Algorithm for Multimode Mobile Terminals and Its Performance," BenQ Mobile, Munich Germany; University of Klagenfurt, Klagenfurt, Austria; 2006	☐
	2	Dixon et al., "Triple Play Digital Services: Comcast and Verizon (Digital Phone, Television, and Internet), August 2007	☐
	3	Kassar et al., "An overview of vertical handover decision strategies in heterogeneous wireless networks," ScienceDirect, University Pierre & Marie Curie, Paris, France, 6/5/2007	☐
	4	Sadeh et al., "Understanding and Capturing People's Privacy Policies in a Mobile Social Networking Application," ISR School of Computer Science, Carnegie Mellon University, 2007	☐
	5	Schiller et al., "Location-Based Services," The Morgan Kaufmann Series in Data Management Systems, 2004	☐
	6	Office Action in Chinese Patent Application No. CN 201080010511.1 dated March 6, 2015	☐

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	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
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Name/Print	James E. Harris	Registration Number	40013

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Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
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Application Type:	Utility under 35 USC 111(a)

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	2	8346210	B2	2013-01-01	Balsan et al.	
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	3	20060035631	A1	2006-02-16	White et al.	
	4	20060206709	A1	2006-09-14	Labrou et al.	
	5	20070060200	A1	2007-03-15	Boris et al.	
	6	20090046707	A1	2009-02-19	Smires et al.	
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[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

OR

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

☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature	/James E. Harris/	Date (YYYY-MM-DD)	2015-03-03
Name/Print	James E. Harris	Registration Number	40013

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

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Page 000229

Electronic Acknowledgement Receipt

EFS ID:	21656577
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	03-MAR-2015
Filing Date:	09-JAN-2013
Time Stamp:	16:04:24
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	612266 6fb869eaeeb83b99a7e6e4e882ff5e8b084c54db	no	5

Warnings:	
Information:	

2	Foreign Reference	2059.pdf	2523856 a966775427c913978f6580b049bab43a01a3cdd8	no	28

Warnings:	
Information:	
Total Files Size (in bytes):	3136122

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New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

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

PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Not for submission under 37 CFR 1.99)

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Andrew J RUDY
Attorney Docket Number	RALEP025C1

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6119933	A	2000-09-19	Wong et al.	
	2	7149229	B1	2006-12-12	Leung, Kent K.	
	3	7242668	B2	2007-07-10	Kan et al.	
	4	8095640	B2	2012-01-10	Guingo et al.	
	5	8347104	B2	2013-01-01	Pathiyal, Krishna K.	
	6	8694772	B2	2014-04-08	Kao et al.	
	7	8705361	B2	2014-04-22	Venkataraman et al.	
	8	8719423	B2	2014-05-06	Wyld	

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	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	9	8780857	B2	2014-07-15	Balasubramanian et al.	
	10	8811991	B2	2014-08-19	Jain et al.	

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20050135264	A1	2005-06-23	Popoff et al.	
	2	20050245241	A1	2005-11-03	Durand et al.	
	3	20070165630	A1	2007-07-19	Rasanen et al.	
	4	20080125079	A1	2008-05-29	O'Neil et al.	
	5	20100287599	A1	2010-11-11	He et al.	

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	1	1503548	EP	A1	2005-02-02	FG Microtec GmbH		☐
	2	2007318354	JP	A	2007-12-06	Fujitsu Ten Ltd.		☐
	3	2008301121	JP	A	2008-12-11	Kyocera Corp.		☐
	4	2009212707	JP	A	2009-09-17	Fujitsu Ltd.		☐
	5	2009218773	JP		2009-09-24	Advanced Telecommunication Research Institute Inte		☐
	6	3148713	JP	B2	2001-03-26	ATR Kankyo Tekio Tsushin Kenkyusho		☐
	7	2006093961	WO	A1	2006-09-08	Kyocera Wireless Corp.		☐
	8	2007126352	WO		2007-11-08	Telefonaktiebolaget LM Ericsson		☐

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NON-PATENT LITERATURE DOCUMENTS Remove

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	10/29/2014 Office Action in Australian Patent Application No. 2010208294	☐

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Petitioner's Exhibit 1002
Page 000234

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

EXAMINER SIGNATURE			
Examiner Signature		Date Considered	

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	Attorney Docket Number	RALEP025C1

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Signature	/James E. Harris/	Date (YYYY-MM-DD)	2014-12-09
Name/Print	James E. Harris	Registration Number	40013

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

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IPR2024-00809
Petitioner's Exhibit 1002
Page 000237

Electronic Acknowledgement Receipt

EFS ID:	20911667
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	09-DEC-2014
Filing Date:	09-JAN-2013
Time Stamp:	17:25:52
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	612645 35ca48c96c46a8c6125e15a188531bb1d7e2b047	no	6
Warnings:					
Information:					

2	Foreign Reference	2051.pdf	403577 d22e03358f57684914e973be2726a1020d61e766	no	20
Warnings:					
Information:					
3	Foreign Reference	2052.pdf	1089309 3986e176217ff4aabd958d4f301240ea4896296e	no	18
Warnings:					
Information:					
4	Foreign Reference	2053.pdf	513453 31e57d218f8274c4e588a81a345b9edf1e8d8125	no	16
Warnings:					
Information:					
5	Foreign Reference	2054.pdf	2451546 a2c79b6c1cd0073c23ae4a918ee197b9cb71a217	no	25
Warnings:					
Information:					
6	Foreign Reference	2055.pdf	362706 ade124f75667a4d2298f9390e64074e1a9570494	no	11
Warnings:					
Information:					
7	Foreign Reference	2056.pdf	2575701 24e70f7771bb68b3a29f93429c429d7c7fd9c846	no	34
Warnings:					
Information:					
8	Foreign Reference	2057.pdf	454629 1b7453dae97f43e4d44e293e6b2f7514f5bbcdd6	no	18
Warnings:					
Information:					
9	Foreign Reference	2058.pdf	1109411 4c2d545dca3e076795bb8a190443c7bf2fae96ad	no	29
Warnings:					
Information:					
10	Other Reference-Patent/App/Search documents	5179.pdf	456555 3722641dded56ce4b08ecac77693021e6ecf3f12	no	6
Warnings:					
Information:					

Total Files Size (in bytes):	10029532

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New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371
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New International Application Filed with the USPTO as a Receiving Office
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PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT
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Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Andrew J RUDY
Attorney Docket Number	RALEP025C1

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5131020	A	1992-07-14	Liebesny et al.	
	2	5325532	A	1994-06-28	Crosswy et al.	
	3	6640334	B	2003-10-28	Rasmussen, John H.	
	4	7409447	B	2008-08-05	Assadzadeh, Alireza	
	5	7614051	B	2009-11-03	Glaum et al.	
	6	7668612	B	2010-02-23	Okkonen, Harri	
	7	7756056	B2	2010-07-13	Kim et al.	
	8	8131281	B1	2012-03-06	Hildner et al.	

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	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	9	8160598	B2	2012-04-17	Savoor, Raghvendra	
	10	8223741	B	2012-07-17	Bartlett et al.	
	11	8370483	B	2013-02-05	Choong Jason et al.	
	12	8375136	B2	2013-02-12	Roman et al.	
	13	8396458	B	2013-03-12	Raleigh, Gregory G.	
	14	8645518	B	2014-02-04	David, Scott L.	
	15	8670334	B	2014-03-11	Keohane et al.	
	16	8676925	B	2014-03-18	Liu et al.	
	17	8693323		2014-04-08	McDysan, David E.	
	18	8725899	B	2014-05-13	Short et al.	
If you wish to add additional U.S. Patent citation information please click the Add button.						Add
U.S.PATENT APPLICATION PUBLICATIONS						Remove

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Petitioner's Exhibit 1002
Page 000242

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20040039792	A1	2004-02-26	Nakanishi, Tomoaki	
	2	20040137890	A1	2004-07-15	Kalke, Catherine	
	3	20040243992	A	2004-12-02	Gustafson et al.	
	4	20050075115	A1	2005-04-07	Corneille et al.	
	5	20050239447	A1	2005-10-27	Holzman et al.	
	6	20070143824	A1	2007-06-21	Shahbazi, Majid	
	7	20070213054	A1	2007-09-13	Han, Seung-Wook	
	8	20070226775	A	2007-09-27	Andreasen et al.	
	9	20070266422	A1	2007-11-15	Germano et al.	
	10	20080032715	A1	2008-02-07	Jia et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	11	20080139210	A	2008-06-12	Gisby et al.	
	12	20080166993	A1	2008-07-10	Gautier et al.	
	13	20080293395	A1	2008-11-27	Mathews et al.	
	14	20090044185	A1	2009-02-12	Krivopaltsev, Eugene	
	15	20090163173	A1	2009-06-25	Williams, Timothy D.	
	16	20090254857	A	2009-10-08	Romine et al.	
	17	20100075666	A1	2010-03-25	Garner, Neil Robert	
	18	20100235329	A	2010-09-16	Koren et al.	

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FOREIGN PATENT DOCUMENTS Remove

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	101127988	CN	A	2008-02-20	ZTE Corporation		☐

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

NON-PATENT LITERATURE DOCUMENTS Remove			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1		☐
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Examiner Signature		Date Considered	

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
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	First Named Inventor	Gregory G. Raleigh
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	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

OR

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

☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature	/James E. Harris/	Date (YYYY-MM-DD)	2014-09-29
Name/Print	James E. Harris	Registration Number	40013

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

IPR2024-00809
Petitioner's Exhibit 1002
Page 000247

Electronic Patent Application Fee Transmittal

Application Number:	13737748
Filing Date:	09-Jan-2013
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	James E. Harris/Ann Taylor
Attorney Docket Number:	RALEP025C1

Filed as Small Entity

Utility under 35 USC 111(a) Filing Fees

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

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Submission- Information Disclosure Stmt	2806	1	90	90
		Total in USD ($)		**90**

Electronic Acknowledgement Receipt

EFS ID:	20274373
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	James E. Harris/Ann Taylor
Filer Authorized By:	James E. Harris
Attorney Docket Number:	RALEP025C1
Receipt Date:	29-SEP-2014
Filing Date:	09-JAN-2013
Time Stamp:	16:53:24
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$90
RAM confirmation Number	3865
Deposit Account	505876
Authorized User	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)

1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	612943 039753ebc72542af6776a9a84dcf29a5fa81c452	no	7
Warnings:					
Information:					
2	Foreign Reference	2050.pdf	1136346 21c4e4c1c0f43b05ddbed691b4fd8f87df8a12e4	no	24
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30129 24531af9c50f076509cf7ef4ef562e43effb1bb4	no	2
Warnings:					
Information:					
			Total Files Size (in bytes):	1779418	

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

<u>New International Application Filed with the USPTO as a Receiving Office</u>
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PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Andrew J RUDY
Attorney Docket Number	RALEP025C1

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	7805140	B2	2010-09-28	Friday et al.	
	2	8605691	B2	2013-12-10	Soomro et al.	
	3	8655357	B1	2014-02-18	Gazzard et al.	
	4	8706863		2014-04-22	Fadell, Anthony	

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20020188732	A1	2002-12-12	Buckman et al.	
	2	20080010379	A	2008-01-10	Zhao, Hang	

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	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	3	20080034419	A	2008-02-07	Mullick et al.		

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Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] ¡	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	1878160	CN	A	2006-12-13	Jiang, Yong		☐

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NON-PATENT LITERATURE DOCUMENTS Remove

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	6/11/2014 Second Office Action in Chinese Application No. 201080010511.1	☐

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Examiner Signature		Date Considered	

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

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Page 000253

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	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

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☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature	/Krista S. Jacobsen/	Date (YYYY-MM-DD)	2014-07-16
Name/Print	Krista S. Jacobsen	Registration Number	59374

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IPR2024-00809
Petitioner's Exhibit 1002
Page 000255

Electronic Acknowledgement Receipt

EFS ID:	19596138
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen
Filer Authorized By:	
Attorney Docket Number:	RALEP025C1
Receipt Date:	16-JUL-2014
Filing Date:	09-JAN-2013
Time Stamp:	14:37:03
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	612249 4eb91fb108bae75ed088766665d79f7d4bedce96	no	4
Warnings:					
Information:					

2	Foreign Reference	Jiang.pdf	10963497 3beb6debdf2ebd6470e65bb7d92def5fd16d49ae	no	34
Warnings:					
Information:					
3	Non Patent Literature	P025CN2ndOA.pdf	154335 a9e760da5ff7ee295a18ebd424359fd585ee2166	no	6
Warnings:					
Information:					
			Total Files Size (in bytes):	11730081	

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New Applications Under 35 U.S.C. 111
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National Stage of an International Application under 35 U.S.C. 371
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New International Application Filed with the USPTO as a Receiving Office
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PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Andrew J RUDY
Attorney Docket Number	RALEP025C1

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6185576	B1	2001-02-06	Mcintosh, Lowrie	
	2	7320029	B2	2008-01-15	Rinne et al.	
	3	7539132	B2	2009-05-26	Werner et al.	
	4	7805606	B2	2010-09-28	Birger et al.	
	5	8175574	B1	2012-05-08	Panda et al.	
	6	8180881	B2	2012-05-15	Seo et al.	
	7	8191124	B2	2012-05-29	Wynn et al.	
	8	8275415	B2	2012-09-25	Huslak, Nicholas S.	

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	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	9	8300575	B2	2012-10-30	Willars, Per	
	10	8315593	B2	2012-11-20	Gallant et al.	
	11	8347378	B2	2013-01-01	Merkin et al.	
	12	8375128	B2	2013-02-12	Tofighbakhsh et al.	
	13	8527410	B2	2013-09-03	Markki et al.	
	14	8554876	B2	2013-10-08	Winsor, Gerald W.	
	15	8666395	B2	2014-03-04	Silver, Andrew	

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20110110309	A	2011-05-12	Bennett, James D.	
	2	20040170191	A	2004-09-02	Guo et al.	

IPR2024-00809
Petitioner's Exhibit 1002
Page 000259

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	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	3	20040203833	A	2004-10-14	Rathunde, Dale F. et al.	
	4	20050186948	A	2005-08-25	Gallagher et al.	
	5	20070147317	A	2007-06-28	Smith et al.	
	6	20080025230	A	2008-01-31	Patel et al.	
	7	20080056273	A	2008-03-06	Pelletier et al.	
	8	20080270212	A	2008-10-30	Blight et al.	
	9	20100030890	A	2010-02-04	Dutta et al.	

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Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	1310401	CN	A	2001-08-29	Wang, Di Xing		☐
	2	2007133844	WO	A	2007-11-22	Camiant, Inc.		☐

IPR2024-00809
Petitioner's Exhibit 1002
Page 000260

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

	3	1999027723	WO	A1	1999-06-03	Telefonaktiebolaget LM Ericsson		☐

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NON-PATENT LITERATURE DOCUMENTS Remove

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	"End to End QoS Solution for Real-time Multimedia Application;" Computer Engineering and Applications, 2007, 43 (4): 155-159, by Tan Zu-guo, Wang Wen-juan; Information and Science School, Zhanjian Normal College, Zhan jiang, Guangdong 524048, China	☐
	2	"ASA/PIX: Allow Split Tunneling for VPN Clients on the ASA Configuration Example," Document ID 70917, January 10, 2008	☐

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

IPR2024-00809
Petitioner's Exhibit 1002
Page 000261

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Andrew J RUDY
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

OR

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

☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature	/Krista S. Jacobsen/	Date (YYYY-MM-DD)	2014-05-21
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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

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

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

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

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

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

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

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

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

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Petitioner's Exhibit 1002
Page 000263

Electronic Acknowledgement Receipt

EFS ID:	19098558
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen
Filer Authorized By:	
Attorney Docket Number:	RALEP025C1
Receipt Date:	21-MAY-2014
Filing Date:	09-JAN-2013
Time Stamp:	23:43:57
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	613198 aa71439d58f0342c64f7fcef2283f92bef7d06b2	no	6

Warnings:	
Information:	

2	Foreign Reference	2044_WO1999027723A1.pdf	904456 a688012e12d1ad3b8550a0c726a94bd72b28a6fa	no	36
Warnings:					
Information:					
3	Foreign Reference	2045_WO2007133844.pdf	1180849 f4c87541e0759ae271d1a7f67a656801997a5558	no	30
Warnings:					
Information:					
4	Foreign Reference	2046_CN1310401A.pdf	992440 a1b82929f3d1ce8d217485b34de268afea8f7863	no	13
Warnings:					
Information:					
5	Non Patent Literature	3037_EndtoEnd.pdf	1097643 c0f57a22ab875fecfc286cd70be1ebcae7fc806b	no	5
Warnings:					
Information:					
6	Non Patent Literature	3038_ASA.pdf	786693 5580855f6934ae1eab1a3251238ecc9c8076e7a9	no	24
Warnings:					
Information:					
		Total Files Size (in bytes):	5575279		

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

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

<u>New International Application Filed with the USPTO as a Receiving Office</u>
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Electronic Acknowledgement Receipt

EFS ID:	18527356
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen
Filer Authorized By:	
Attorney Docket Number:	RALEP025C1
Receipt Date:	19-MAR-2014
Filing Date:	09-JAN-2013
Time Stamp:	17:15:48
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	612999 395b0926b909458f25c0d6bc26ca8d4e775f511c	no	7
Warnings:					
Information:					

2	Foreign Reference	2041_CN101123553A.pdf	1975496 77fe4b0fe9cee8cb2bf4c46f64443dee1117f80e	no	16
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Information:					
3	Foreign Reference	2042_CN1937511A.pdf	3222683 57d4f0e05771df6cf8790dcaecf3a418734fec42	no	29
Warnings:					
Information:					
			Total Files Size (in bytes):	5811178	

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

New International Application Filed with the USPTO as a Receiving Office
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PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	3687
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	RALEP025C1

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5774532	A	1998-06-30	Gottlieb et al.	

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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20040225898	A	2004-11-11	Frost, D. et al.	
	2	20050079863	A	2005-04-14	Macaluso, Anthony G.	
	3	20060114832	A	2006-06-01	Hamilton et al.	
	4	20060156398	A	2006-07-13	Ross et al.	
	5	20060173959	A	2006-08-03	Mckelvie et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025C1

	6	20070033194	A	2007-02-08	Srinivas et al.	
	7	20080070550	A	2008-03-20	Hose, David Alan	
	8	20080201266	A	2008-08-21	Chua et al.	
	9	20100284327	A	2010-11-11	Miklos, Gyorgy	

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FOREIGN PATENT DOCUMENTS

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

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	"Communication Concepts for Mobile Agent Systems," by Joachim Baumann et al.; Inst. Of Parallel and Distributed High-Performance Systems, Univ. of Stuttgart, Germany, pp. 123-135, 1997	☐

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025C1

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

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	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

OR

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

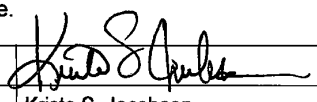
☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2014-01-31
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Petitioner's Exhibit 1002
Page 000271

Electronic Acknowledgement Receipt

EFS ID:	18088638
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	31-JAN-2014
Filing Date:	09-JAN-2013
Time Stamp:	19:45:49
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	826963 6281b05f44d38ad70e675f731643fc0ff72c85c0	no	4
Warnings:					
Information:					

This is not an USPTO supplied IDS fillable form					
2	Non Patent Literature	3034_Baumann.pdf	2145168 7dcd8af1ff9cab4f61cecb7522d5e0d9c220729a	no	13
Warnings:					
Information:					
			Total Files Size (in bytes):	2972131	

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New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371
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New International Application Filed with the USPTO as a Receiving Office
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PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

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

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	2431
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5983270	A	1999-11-09	Abraham et al.	
	2	6104700	A	2000-08-15	Haddock, Stephen R. et al.	
	3	6542992		2003-04-01	Peirce, Kenneth L. et al.	
	4	6598034	B1	2003-07-22	Kloth, Axel K.	
	5	6748195	B1	2004-06-08	Phillips, W. Garland	
	6	6873988	B2	2005-03-29	Herrmann et al.	
	7	7013469	B2	2006-03-14	Smith et al.	
	8	7032072	B1	2006-04-18	Quinn et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	9	7043268	B2	2006-05-09	Yukie et al.	
	10	7113780	B2	2006-09-26	Mckenna Daniel et al.	
	11	7203169	B1	2007-04-10	Okholm, Jon et al.	
	12	7286834	B2	2007-10-23	Walter	
	13	7310424		2007-12-18	Gehring, Stephan Walter et al.	
	14	7356011		2008-04-08	Waters, Christopher J.F. et al.	
	15	7460837	B2	2008-12-02	Diener, Neil R.	
	16	7540408	B2	2009-06-02	Levine, Judah et al.	
	17	7546460		2009-06-09	Maes, Stephane H.	
	18	7555757	B2	2009-06-30	Smith et al.	
	19	7574509	B2	2009-08-11	Nixon et al.	

IPR2024-00809
Petitioner's Exhibit 1002
Page 000275

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	20	7580356	B1	2009-08-25	Mishra et al.	
	21	7596373	B2	2009-09-29	Mcgregor, Christopher et al.	
	22	7610396	B2	2009-10-27	Taglienti et al.	
	23	7616962	B2	2009-11-10	Oswal, Anand K. et al.	
	24	7653394	B2	2010-01-26	McMillin, Brian K.	
	25	7697540	B2	2010-04-13	Haddad et al.	
	26	7742406	B1	2010-06-22	Muppala, Suresh	
	27	7774323	B2	2010-08-10	Helfman, Nadav	
	28	7826427	B2	2010-11-02	Sood et al.	
	29	7826607	B1	2010-11-02	De Carvalho Resende et al.	
	30	7921463		2011-04-05	Sood, Kapil et al.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Gregory G. Raleigh
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	31	7940685	B1	2011-05-10	Breslau, Lee et al.	
	32	7940751		2011-05-10	Hansen, Christopher J.	
	33	7953877	B2	2011-05-31	Vemula et al.	
	34	7957381	B2	2011-06-07	Clermidy et al.	
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	36	7984511	B2	2011-07-19	Kocher Paul et al.	
	37	7987510	B2	2011-07-26	Kocher et al.	
	38	8031601	B2	2011-10-04	Feroz et al.	
	39	8122249		2012-02-21	Falk, Rainer et al.	
	40	8130793	B2	2012-03-06	Edwards, Stephen K. et al.	
	41	8166554	B2	2012-04-24	John, Pramod	

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	42	8185088	B2	2012-05-22	Klein et al.	
	43	8185093		2012-05-22	Jheng, Yu-Syuan et al.	
	44	8185127	B1	2012-05-22	Cai, Zheng et al.	
	45	8194572	B2	2012-06-05	Horvath et al.	
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	53	8351592	B2	2013-01-08	Freeny Jr et al.	
	54	8352360	B2	2013-01-08	De Judicibus et al.	
	55	8385975	B2	2013-02-26	Forutanpour et al.	
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	58	8437734		2013-05-07	Ray, Amar N. et al.	
	59	8452858	B2	2013-05-28	Wu et al.	
	60	8461958	B2	2013-06-11	Saenz et al.	
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	64	8489720	B1	2013-07-16	Morford, Michael et al.	
	65	8495360		2013-07-23	Falk, Rainer et al.	
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	75	8561138	B2	2013-10-15	Rothman, Michael M. et al.	
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	77	8571993	B2	2013-10-29	Kocher et al.	
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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	2	20070025301	A	2007-02-01	Petersson et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	101115248A	CN		2008-01-30	Lenovo Beijing Ltd.		☐
	2	101341764A	CN		2009-01-07	Telefonaktiebolaget LM Ericsson		☐
	3	1538730A	CN		2004-10-20	Zhongxing Communication Co., Ltd.		☐

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	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	4	1802839A	CN		2006-07-12	Motorola Inc.		☐
	5	2004064306	WO		2004-07-29	Motorola Inc.		☐
	6	2007068288	WO		2007-06-21	Telefonaktiebolaget LM Ericsson		☐

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	"The Construction of Intelligent Residential District in Use of Cable Television Network," Shandong Science, Vol. 13, No. 2, June 2000	☐
	2	VerizonWireless.com news, "Verizon Wireless Adds to Portfolio of Cosumer-Friendly Tools With Introduction of Usage Controls, Usage Controls and Chaperone 2.0 Offer Parents Full Family Security Solution," August 18, 2008	☐
	3	8/14/2013 Office Action in Chinese Patent Application No. 201080010511.1	☐

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CERTIFICATION STATEMENT

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

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

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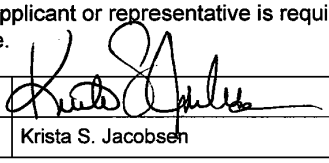
☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-11-25
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Electronic Acknowledgement Receipt

EFS ID:	17502138
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	26-NOV-2013
Filing Date:	09-JAN-2013
Time Stamp:	01:48:25
Application Type:	Utility under 35 USC 111(a)

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7	Foreign Reference	2040_WO2004064306A2.pdf	510026 4efd4e07b8efec25946c766ec966cd4a4accab55	no	22
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9	Non Patent Literature	3033_ChineseLit.pdf	692944 27c80a849cc8dbc81b552f052687e58018a96512	no	2
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U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	2	5633484	A	1997-05-27	Zancho, William F. et al.	
	3	5814798	A	1998-09-29	Zancho, William F.	
	4	5915008	A	1999-06-22	Dulman, Scott	
	5	6654814		2003-11-25	Britton, Kathryn H. et al.	
	6	6934249	B1	2005-08-23	Bertin, Olivier et al.	
	7	6957067		2005-10-18	Iyer, Pradeep J. et al.	
	8	7039713	B1	2006-05-02	Van Gunter, David et al.	

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	9	7102620	B2	2006-09-05	Harries, Andrew Stanely Guy et al.	
	10	7139569	B2	2006-11-21	Kato, Akira	
	11	7286848	B2	2007-10-23	Vireday, Richard P. et al.	
	12	7313237	B2	2007-12-25	Bahl, Paramvir et al.	
	13	7444669	B1	2008-10-28	Bahl, Paramvir et al.	
	14	7478420	B2	2009-01-13	Wright, Michael et al.	
	15	7493659	B1	2009-02-17	Wu, Handong et al.	
	16	7496652		2009-02-24	Pezzutti, David	
	17	7499438		2009-03-03	Hinman, Brian L. et al.	
	18	7502672	B1	2009-03-10	Kolls, H. Brock	
	19	7529204	B2	2009-05-05	Bourlas, Yair et al.	

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	20	7535880		2009-05-19	Hinman, Brian L. et al.	
	21	7548976	B2	2009-06-16	Bahl, Paramvir et al.	
	22	7583964	B2	2009-09-01	Wong, Gregory A.	
	23	7593730	B2	2009-09-22	Khandelwal, Deepak et al.	
	24	7720960	B2	2010-05-18	Pruss, Richard Manfred et al.	
	25	7756757	B1	2010-07-13	Oakes III, Charles Lee	
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	27	7801985	B1	2010-09-21	Pitkow, Jim et al.	
	28	7881697	B2	2011-02-01	Baker, Matthew Donald et al.	
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	32	7945238	B2	2011-05-17	Baker, Matthew Donald et al.	
	33	7948953	B2	2011-05-24	Melkote, Keerti G. et al.	
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	35	8000276	B2	2011-08-16	Scherzer, Shimon et al.	
	36	8019886	B2	2011-09-13	Harrang, Jeffrey Paul et al.	
	37	8027339	B2	2011-09-27	Short, Joel E. et al.	
	38	8032409	B1	2011-10-04	Mikurak, Michael G.	
	39	8045973	B2	2011-10-25	Chambers, Michael D.	
	40	8068829	B2	2011-11-29	Lemond, Eric et al.	
	41	8078140	B2	2011-12-13	Baker, Matthew Donald et al.	

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	42	8078163	B2	2011-12-13	Lemond, Eric et al.	
	43	8086497	B1	2011-12-27	Oakes III, Charles Lee	
	44	8090359		2012-01-03	Proctor Jr., James Arthur et al.	
	45	8090616		2012-01-03	Proctor Jr., James Arthur et al.	
	46	8095112	B2	2012-01-10	Chow, Richard et al.	
	47	8116749		2012-02-14	Proctor Jr., James Arthur et al.	
	48	8116781	B2	2012-02-14	Chen, Xixian et al.	
	49	8126396	B2	2012-02-28	Bennett, James D.	
	50	8126476	B2	2012-02-28	Vardi, Yosef et al.	
	51	8134954		2013-03-13	Godfrey, James A. et al.	
	52	8150431		2012-04-03	Wolovitz, Lionel et al.	

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	54	8200509	B2	2012-06-12	Kenedy, Andrew Alexander et al.	
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	56	8270972	B2	2012-09-18	Otting, Marcia J. et al.	
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	First Named Inventor	Gregory G. Raleigh
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	64	8369274	B2	2013-02-05	Sawai, Ryo	
	65	8374592		2013-02-12	Proctor, Jr. James A. et al.	
	66	8447607	B2	2013-05-21	Weider, Chris et al.	
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	25	20130065555	A	2013-03-14	Baker, Matthew Donald et al.	
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	1	1998058505	WO		1998-12-23	Sonera Oy		☐
	2	2007097786	WO	A	2007-08-30	Sony Ericsson Mobile Communications AB		☐

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Accuris Networks, "The Business Value of Mobile Data Offload – a White Paper", 2010	☐
	2	ANTON, B. et al., "Best Current Practices for Wireless Internet Service Provider (WISP) Roaming"; Release Date February 2003, Version 1.0; Wi-Fi Alliance – Wireless ISP Roaming (WISPr)	☐
	3	Ruckus Wireless – White Paper; "Smarter Wi-Fi for Mobile Operator Infrastructures" 2010	☐

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	4	Wireless Broadband Alliance, "WISPr 2.0, 08 April, 2010"; Doc. Ref. No.: WBA/RM/WISPr, Version 01.00	☐

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

☒ None

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

Signature		Date (YYYY-MM-DD)	2013-09-06
Name/Print	Krista S. Jacobsen	Registration Number	59374

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EFS ID:	16791799
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	07-SEP-2013
Filing Date:	09-JAN-2013
Time Stamp:	16:46:14
Application Type:	Utility under 35 USC 111(a)

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(Not for submission under 37 CFR 1.99)

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Raleigh, Gregory G.
Art Unit	2431
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	10	7929973		2011-04-19	Zavalkovsky, Arthur et al.	
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	63	7181017		2007-02-20	Nagel, Robert H. et al.	

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	2	20030171112		2003-09-11	Lupper, Alfred et al.	
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	6	20070280453		2007-12-06	Kelley, Sean S. et al.	
	7	20100241544		2010-09-23	Benson, Dan et al.	
	8	20090157792		2009-06-18	Fiatal, Trevor	

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	1	1889777A	CN		2006-07-19	Huawei Tech. Co. Ltd.		☐
	2	101155343A	CN		2006-09-29	Huawei Tech. Co. Ltd.		☐
	3	101035308A	CN		2006-03-09	Huawei Tech. Co. Ltd.		☐
	4	2007124279	WO		2007-11-01	Cisco Technology, Inc.		☐

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	5	2005008995	WO		2005-01-27	Starhub Ltd.		☐

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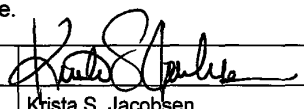
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☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-07-17
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Electronic Acknowledgement Receipt

EFS ID:	16347538
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	17-JUL-2013
Filing Date:	09-JAN-2013
Time Stamp:	21:55:23
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1.pdf	1867691 60730d30255809ada57fa29b2738d762205 92ce7	no	10

Warnings:	
Information:	

This is not an USPTO supplied IDS fillable form					
2	Foreign Reference	Starhub.pdf	656227 34c62e843998321805c9a9e280b3233bc8a53e75	no	22
Warnings:					
Information:					
3	Foreign Reference	Cisco.pdf	1398028 a85c7e6d6f08a1f6747fb7d21a9fb93427e3c5e3	no	69
Warnings:					
Information:					
4	Foreign Reference	CN1889777A.pdf	928344 9a22716535cc0ec62b3db71f323c7634d266e61a	no	19
Warnings:					
Information:					
5	Foreign Reference	CN101035308A.pdf	1231903 bb1b6fa1721a042823731a8283b8d37b6b313b35	no	28
Warnings:					
Information:					
6	Foreign Reference	CN101155343B.pdf	2070647 cc7a6c8344a80e179d9f2601a49cb9a37f359e87	no	28
Warnings:					
Information:					
		Total Files Size (in bytes):	8152840		

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<u>New Applications Under 35 U.S.C. 111</u>
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

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

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1

CONFIRMATION NO. 5456

106963
Headwater Partners I LLC
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

PUBLICATION NOTICE

OC00000061742269

Title: Security Techniques For Device Assisted Services

Publication No.US-2013-0145422-A1
Publication Date:06/06/2013

NOTICE OF PUBLICATION OF APPLICATION

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

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

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

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

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

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

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Page 000316

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Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Raleigh, Gregory G.
Art Unit	2431
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6754470		2004-06-22	Hendrickson, Keith et al.	
	2	8122128		2012-02-21	Burke, II, Robert M. et al.	
	3	8149823		2012-04-03	Turcan, Diane Brown et al.	
	4	8131256		2012-03-06	Martti, Jyrki et al.	
	5	6381316		2002-04-30	Joyce, Simon James et al.	
	6	7965983		2011-06-21	Swan, Tim et al.	
	7	8284740		2012-10-09	O'Connor, Dennis M.	
	8	8116223		2012-02-14	Tian, Dan et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	9	6154738		2000-11-28	Call, Charles Gainor	
	10	8423016		2013-04-16	Buckley, Adrian et al.	
	11	8306518		2012-11-06	Gailloux, Michael A.	
	12	8422988		2013-04-16	Keshav, Srinivasan	
	13	6035281		2000-03-07	Crosskey, James P. et al.	
	14	6996393		2006-02-07	Pyhalammi, Seppo et al.	
	15	7760711		2010-07-20	Kung, Fen-Chung et al.	
	16	8000318		2011-08-16	Wiley, William L. et al.	
	17	8098579		2012-01-17	Ray, Amar N. et al.	
	18	8155670		2012-04-10	Fullam, Scott et al.	
	19	8374090		2013-02-12	Morrill, Robert J. et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20110173678		2011-07-14	Kaippallimalil, John et al.	
	2	20080235511		2008-09-25	O'Brien, William G. et al.	
	3	20080240373		2008-10-02	Wilhelm, Robert D.	
	4	20100027559		2010-02-04	LIN, Hung-Ming et al.	
	5	20020116338		2002-08-22	Gonthier, Jean-Charles et al.	
	6	20070061878		2007-03-15	Hagiu, Costin et al.	
	7	20100020822		2010-01-28	Zerillo, Anthony J. et al.	
	8	20040203755		2004-10-14	Brunet, Jeffrey et al.	
	9	20090172077		2009-07-02	Roxburgh, David et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	10	20080051076		2008-02-28	O'Shaughnessy, John et al.	
	11	20080313730		2008-12-18	Iftimie, Sorin et al.	

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

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	2006120558A1	WO		2006-11-16	Nokia Corp.		☐

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1		☐

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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Petitioner's Exhibit 1002
Page 000320

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

OR

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

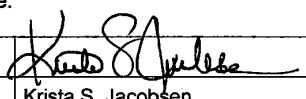
☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-05-23
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Electronic Acknowledgement Receipt

EFS ID:	15860970
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	23-MAY-2013
Filing Date:	09-JAN-2013
Time Stamp:	21:48:01
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1.pdf	1051246 ae7d96872c9acd9fb4997dc5a3377ab201229f5b	no	5

Warnings:	
Information:	

This is not an USPTO supplied IDS fillable form					
2	Foreign Reference	WO2006120558A1Nokia.pdf	829615 8b7d3998166eaadb50492ebf5e693219d9e238ca	no	34
Warnings:					
Information:					
			Total Files Size (in bytes):	1880861	

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New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

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

PTO/SB/08a (01-10)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Not for submission under 37 CFR 1.99)

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Raleigh, Gregory G.
Art Unit	2431
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	8135388		2012-03-13	Gailloux, Michael A. et al.	
	2	6947723		2005-09-20	Gurnani, Roger et al.	
	3	8350700		2013-01-08	Fast, Raymond D. et al.	
	4	8204190		2012-06-19	Bang, Jung-Hee et al.	
	5	7962622		2011-06-14	Friend, John et al.	
	6	7583964		2009-09-01	Wong, Gregory A.	
	7	7565141		2009-07-21	Macaluso, Anthony G.	
	8	7373179		2008-05-13	Stine, Ted et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	9	7236780		2007-06-26	Benco, David S. et al.	
	10	7039403		2006-05-02	Wong, Gregory A.	
	11	7865182		2011-01-04	Macaluso, Anthony G.	
	12	8370477		2013-02-05	Short, Joel E. et al.	
	13	8364806		2013-01-29	Short, Joel E. et al.	
	14	8279067		2012-10-02	Berger, Thomas R. et al.	
	15	8213296		2012-07-03	Shannon, Frank M. et al.	
	16	8019868		2011-09-13	Rao, Goutham et al.	
	17	8005988		2011-08-23	Maes, Stephane H.	
	18	7978627		2011-07-12	Taylor, William Scott et al.	
	19	7711848		2010-05-04	Maes, Stephane H.	

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Page 000325

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	20	6782412		2004-08-24	Brophy, Kevin et al.	
	21	6081591		2000-06-27	Skoog, Frederick H.	
	22	6064878		2000-05-16	Denker, John Stewart et al.	
	23	7730123		2010-06-01	Erickson, Richard R. et al.	
	24	8024397		2011-09-20	Erickson, Richard R. et al.	
	25	8156206		2012-04-10	Kiley, Kevin J. et al.	
	26	8126722		2012-02-28	Robb, Terence Alan et al.	
	27	8315594		2012-11-20	MAUSER, Edward Ronald et al.	
	28	8353001		2013-01-08	HERROD, Allan	
	29	8195093		2013-06-05	GARRETT, Darrin et al.	
	30	8036600		2011-10-11	GARRETT, Darrin et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	31	8364089		2013-01-29	PHILLIPS, Derek	

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

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20090299857		2009-12-03	Brubaker, Curtis M.	

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

FOREIGN PATENT DOCUMENTS

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

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1		☐

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

IPR2024-00809
Petitioner's Exhibit 1002
Page 000327

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
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	Art Unit	2431
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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OR

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

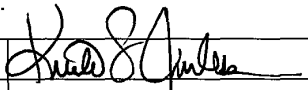
☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-03-21
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Electronic Acknowledgement Receipt

EFS ID:	15332130
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	22-MAR-2013
Filing Date:	09-JAN-2013
Time Stamp:	14:26:48
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	1148892 3af5e9ef4116b07282004a84ee0ce1729c18f62d	no	6

Warnings:	
Information:	

This is not an USPTO supplied IDS fillable form	
Total Files Size (in bytes):	1148892

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New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

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

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UNITED STATES DEPARTMENT OF COMMERCE
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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	TOT CLAIMS	IND CLAIMS
13/737,748	01/09/2013	2642	533	RALEP025C1	20	3

CONFIRMATION NO. 5456

106963
Headwater Partners I LLC
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

FILING RECEIPT

OC000000059471873

Date Mailed: 02/27/2013

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)

Gregory G. Raleigh, Woodside, CA;

Applicant(s)

Headwater Partners I, LLC, Redwood Shores, CA

Assignment For Published Patent Application

Headwater Partners I, LLC, Redwood Shores, CA

Power of Attorney: The patent practitioners associated with Customer Number 106963

Domestic Priority data as claimed by applicant

This application is a CON of 12/694,445 01/27/2010 PAT 8391834 *
which is a CIP of 12/380,780 03/02/2009
which claims benefit of 61/206,354 01/28/2009
and said 12/694,445 01/27/2010
claims benefit of 61/206,354 01/28/2009
and claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
and claims benefit of 61/252,151 10/15/2009
and said 12/380,780 03/02/2009
claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
(*)Data provided by applicant is not consistent with PTO records.

Foreign Applications for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see http://www.uspto.gov for more information.) - None.

IPR2024-00809
Petitioner's Exhibit 1002
Page 000332

Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.

Permission to Access - A proper **Authorization to Permit Access to Application by Participating Offices** (PTO/SB/39 or its equivalent) has been received by the USPTO.

If Required, Foreign Filing License Granted: 02/22/2013
The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 13/737,748**
Projected Publication Date: 06/06/2013
Non-Publication Request: No
Early Publication Request: No
**** SMALL ENTITY ****
Title

Security Techniques For Device Assisted Services

Preliminary Class

455

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,

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Page 000333

this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

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IPR2024-00809
Petitioner's Exhibit 1002
Page 000335

PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number: 13/737,748

APPLICATION AS FILED - PART I

FOR	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA	SMALL ENTITY RATE($)	SMALL ENTITY FEE($)	OR	OTHER THAN SMALL ENTITY RATE($)	OTHER THAN SMALL ENTITY FEE($)
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A	98		N/A	
SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A	N/A	310		N/A	
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A	125		N/A	
TOTAL CLAIMS (37 CFR 1.16(i))	20 minus 20 =	*	x 31 =	0.00	OR		
INDEPENDENT CLAIMS (37 CFR 1.16(h))	3 minus 3 =	*	x 125 =	0.00			
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).			0.00			
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))				0.00			
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL	533		TOTAL	

APPLICATION AS AMENDED - PART II

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

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

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

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
13/737,748	01/09/2013	Gregory G. Raleigh	RALEP025C1

CONFIRMATION NO. 5456

106963
Headwater Partners I LLC
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

POA ACCEPTANCE LETTER

OC000000059463451

Date Mailed: 02/27/2013

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 01/15/2013.

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.

/yhailu/

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

Electronic Acknowledgement Receipt	
EFS ID:	14658719
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	09-JAN-2013
Filing Date:	
Time Stamp:	18:15:22
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$833
RAM confirmation Number	8191
Deposit Account	505876
Authorized User	

Adjustment date: 02/22/2013 MTEKLEMI
01/10/2013 INTEFSW 00008191 505876 13737748
04 FC:1504 300.00 CR

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Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

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

PTO/SB/08a (01-10)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Not for submission under 37 CFR 1.99)

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Raleigh, Gregory G.
Art Unit	2642
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	8102814		2012-01-24	Rahman, Shahriar I. et al.	
	2	7970350		2011-06-28	Sheynman, Arnold et al.	
	3	8094551		2012-01-10	Huber, Kurt Donald et al.	

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

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20100041364		2010-02-18	Lott, Robert Wayne et al.	
	2	20100027469		2010-02-04	Gurajala, Ravindra Babu et al.	

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FOREIGN PATENT DOCUMENTS

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

EFS Web 2.1.17

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1		☐

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

OR

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

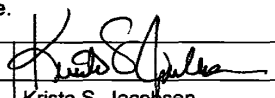
☐ See attached certification statement.

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

☒ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-01-22
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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EFS ID:	14764077
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	22-JAN-2013
Filing Date:	
Time Stamp:	21:19:01
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS.pdf	729720 10d2d1b3ea5e060dafb4686c184c8562485 3ae4b	no	3

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Information:	

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Total Files Size (in bytes):	729720

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New Applications Under 35 U.S.C. 111
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National Stage of an International Application under 35 U.S.C. 371
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New International Application Filed with the USPTO as a Receiving Office
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PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

Application Number	13737748
Filing Date	2013-01-09
First Named Inventor	Raleigh, Gregory G.
Art Unit	2642
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5577100		1996-11-19	McGREGOR et al.	
	2	5794142		1998-08-11	VANTTILA et al.	
	3	5892900		1999-04-06	GINTER et al.	
	4	5903845		1999-05-11	BUHRMANN et al.	
	5	5933778		1999-08-03	BUHRMANN et al.	
	6	5940472		1999-08-17	NEWMAN et al.	
	7	6047268		2000-04-04	BARTOLI et al.	
	8	6078953		2000-06-20	VAID et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	9	6098878		2000-08-08	DENT et al.	
	10	6141686		2000-10-31	JACKOWSKI et al.	
	11	6148336		2000-11-14	THOMAS et al.	
	12	6198915		2001-03-06	McGREGOR et al.	
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	2	3rd Generation Partnership Project, "Technical Specification Group Services and System Aspects; Policy and Charging Control Architecture," Release 8, Document No. 3GPP TS 23.203, V8.4.0, December 2008	☐
	3	ALONISTIOTI et al., "Intelligent Architectures Enabling Flexible Service Provision and Adaptability," 2002	☐
	4	Amazon Technologies, Inc., "Kindle™ User's Guide," 3rd Edition, Copyright 2004-2009	☐
	5	CHANDRASEKHAR et al., "Femtocell Networks: A Survey," June 28, 2008	☐
	6	CHAOUCHI et al., "Policy Based Networking in the Integration Effort of 4G Networks and Services," 2004 IEEE	☐

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	13737748
	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	7	Cisco Systems, Inc., "Cisco Mobile Exchange (CMX) Solution Guide: Chapter 2 - Overview of GSM, GPRS, and UMTS," November 4, 2008	☐
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	10	FAROOQ et al., "An IEEE 802.16 WiMax Module for the NS-3 Simulator," March 2-6, 2009	☐
	11	HAN et al., "Information Collection Services for Qos-Aware Mobile Applications," 2005	☐
	12	HARTMANN et al., "Agent-Based Banking Transactions & Information Retrieval - What About Performance Issues?" 1999	☐
	13	Hewlett-Packard Development Company, LP, "IP Multimedia Services Charging," white paper, January 2006	☐
	14	HOSSAIN et al., "Gain-Based Selection of Ambient Media Services in Pervasive Environments," Mobile Networks and Applications. 03 October 2008	☐
	15	KNIGHT et al., "Layer 2 and 3 Virtual Private Networks: Taxonomy, Technology, and Standarization Efforts," IEEE Communications Magazine, June 2004	☐
	16	KOUTSOPOULOU et al., "Middleware Platform for the Support of Charging Reconfiguration Actions," 2005	☐
	17	KYRIAKAKOS et al., "Ubiquitous Service Provision in Next Generation Mobile Networks," Proceedings of the 13th IST Mobile and Wireless Communications Summit, Lyon, France, June 2004	☐

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Page 000367

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	Filing Date	2013-01-09
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

	18	LI, Yu, "Dedicated E-Reading Device: The State of the Art and The Challenges," Scroll, Vol. 1, No. 1, 2008	☐
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	20	OPPLIGER, Rolf, "Internet Security: Firewalls and Bey," Communications of the ACM, May 1997, Vol. 40. No. 5	☐
	21	RAO et al., "Evolution of Mobile Location-Based Services," Communication of the ACM, December 2003	☐
	22	STEGLICH, Stephan, "I-Centric User Interaction," November 21, 2003	☐
	23	VAN EIJK, et al., "GigaMobile, Agent Technology for Designing Personalized Mobile Service Brokerage," July 1, 2002	☐
	24	ZHU et al., "A Survey of Quality of Service in IEEE 802.11 Networks," IEEE Wireless Communications, August 2004	☐

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Examiner Signature		Date Considered	

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Page 000368

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	Attorney Docket Number	RALEP025C1

CERTIFICATION STATEMENT

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

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

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☐ See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-01-15
Name/Print	Krista S. Jacobsen	Registration Number	59374

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POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(c).

I hereby appoint:

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☐ 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 undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignments documents attached to this form in accordance with 37 CFR 3.73(c).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(c) to:

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☐	Firm or Individual Name			
	Address			
	City		State	Zip
	Country			
	Telephone		Email	

Assignee Name and Address: Headwater Partners I, LLC
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065 U.S.A.

A copy of this form, together with a statement under 37 CFR 3.73(c) (Form PTO/AIA/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(c) may be completed by one of The practitioners appointed in this form, and must identify the application in which this Power of Attorney is to be filed.

SIGNATURE of Assignee of Record
The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature		Date	10-5-2012
Name	Gregory G. Raleigh	Telephone	650-517-2781
Title	Manager		

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.**

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EFS ID:	14709270
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	15-JAN-2013
Filing Date:	
Time Stamp:	21:24:42
Application Type:	Utility under 35 USC 111(a)

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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	P025C1Trans.pdf	302118 83f94db828c9e65bc8ffdc4aa62f8bf14c8af4b9	no	1

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2	Transmittal Letter	P025C1IDSLETTER.pdf	312188 024149ce3cfc1b6b3c182bf6c5979b5245efd775	no	2
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3	Information Disclosure Statement (IDS) Form (SB08)	P025C1IDS1.pdf	4657575 404f3f1edd18fc725c85283cb16185f11c01fe8b	no	26
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If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

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Total Number of Pages in This Submission

Application Number	13/737,748
Filing Date	2013-01-09
First Named Inventor	Gregory G. Raleigh
Art Unit	2642 Conf. No. 5456
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

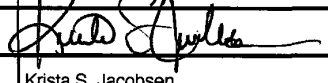
ENCLOSURES *(Check all that apply)*

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- ☑ Other Enclosure(s) (please identify below):
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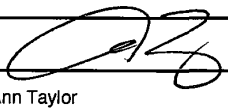
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Firm Name	Headwater Partners I LLC		
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Printed name	Krista S. Jacobsen		
Date	January 15, 2013	Reg. No.	59374

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Examiner:
Gregory G. Raleigh	Not yet assigned
Serial No. 13/737,748	Art Unit: 2642
Filed: January 9, 2013	Conf. No.: 5456

Title: Security Techniques for Device Assisted Services

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

INFORMATION DISCLOSURE STATEMENT

Sir:

The references cited on attached form PTO/SB/08A are being called to the attention of the Examiner. Copies of the references are not enclosed.

In accordance with 37 CFR §1.98(d), copies of the references can be found in related U.S. Patent Application No. 12/694,445, filed January 27, 2010.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR § 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

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Applicant believes that no fee is required for submission of this statement, but if for any reason an insufficient fee has been paid, please charge the insufficiency to Deposit Account No. **50-5876**.

Respectfully submitted,

Date: January 15, 2013

By: _____

Krista S. Jacobsen
Reg. No. 59,374
Head Counsel
Headwater Partners I LLC
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065
(650) 517-2798

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Art Unit	2642
Examiner Name	not yet assigned
Attorney Docket Number	RALEP025C1

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20020022472		2002-02-21	WATLER et al.	
	2	20020120540		2002-08-29	KENDE et al.	
	3	20020131404		2002-09-19	MEHTA et al.	
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	5	20020176377		2002-11-28	HAMILTON, Thomas E.	

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	7	20030004937		2003-01-02	SALMENKAITA et al.	
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	9	20030013434		2003-01-16	ROSENBERG et al.	
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	13	20030050837		2003-03-13	KIM, Do Sik	
	14	20030088671		2003-05-08	KLINKER et al.	
	15	20030133408		2003-07-17	CHENG et al.	
	16	20030161265		2003-08-28	CAO et al.	

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	First Named Inventor	Raleigh, Gregory G.
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	17	20030182420		2003-09-25	JONES et al.	
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	22	20030236745		2003-12-25	HARTSELL et al.	
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	25	20040030705		2004-02-12	BOWMAN-AMUAH, Michel K.	
	26	20040044623		2004-03-04	WAKE et al.	
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	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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	29	20040082346		2004-04-29	SKYTT et al.	
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	36	20040198331		2004-10-07	COWARD et al.	
	37	20040236547		2004-11-25	RAPPAPORT et al.	
	38	20040249918		2004-12-09	SUNSHINE, Roger N.	

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	39	20050021995		2005-01-27	LAL et al.	
	40	20050048950		2005-03-03	MORPER, Hans-Jochen	
	41	20050055291		2005-03-10	BEVENTE et al.	
	42	20050055309		2005-03-10	WILLIAMS et al.	
	43	20050060266		2005-03-17	DEMELLO et al.	
	44	20050097516		2005-05-05	DONNELLY et al.	
	45	20050107091		2005-05-19	VANNITHAMBY et al.	
	46	20050128967		2005-06-16	SCOBBIE, Donald MacGregor	
	47	20050166043		2005-07-28	ZHANG et al.	
	48	20050183143		2005-08-18	ANDERHOLM et al.	
	49	20050198377		2005-09-08	FERGUSON et al.	

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	55	20050254435		2005-11-17	MOAKLEY et al.	
	56	20050266825		2005-12-01	CLAYTON, Steve	
	57	20050266880		2005-12-01	GUPTA, Vivek G.	
	58	20060014519		2006-01-19	MARSH et al.	
	59	20060019632		2006-01-26	CUNNINGHAM et al.	
	60	20060026679		2006-02-02	ZAKAS, Philip H.	

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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
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	61	20060034256		2006-02-16	ADDAGATLA et al.	
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	68	20060143098		2006-06-29	LAZARIDIS, Mihal	
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	73	20060190314		2006-08-24	HERNANDEZ, Rick	
	74	20060199608		2006-09-07	DUNN et al.	
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	78	20060233166		2006-10-19	BOU-DIAB et al.	
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	84	20070022289		2007-01-25	ALT et al.	
	85	20070036312		2007-02-15	CAI et al.	
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	Attorney Docket Number	RALEP025C1

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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
	Examiner Name	not yet assigned
	Attorney Docket Number	RALEP025C1

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	Attorney Docket Number	RALEP025C1

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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	2642
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	Attorney Docket Number	RALEP025C1

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	196	20110126141		2011-05-26	KING et al.	
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	198	20080081606		2008-04-03	COLE, Terry L.	
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	Examiner Name	not yet assigned
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CERTIFICATION STATEMENT

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

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

OR

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

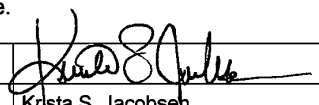
☐ See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-01-15
Name/Print	Krista S. Jacobsen	Registration Number	59374

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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STATEMENT UNDER 37 CFR 3.73(c)

Applicant/Patent Owner: Gregory G. Raleigh

Application No./Patent No.: 13/737,748 Filed/Issue Date: January 9, 2013

Titled: Security Techniques for Device Assisted Services

Headwater Partners I LLC, a limited liability company

(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that, for the patent application/patent identified above, it is (choose **one** of options 1, 2, 3 or 4 below):

1. ☑ The assignee of the entire right, title, and interest.

2. ☐ An assignee of less than the entire right, title, and interest (check applicable box):

   ☐ The extent (by percentage) of its ownership interest is _____%. Additional Statement(s) by the owners holding the balance of the interest must be submitted to account for 100% of the ownership interest.

   ☐ There are unspecified percentages of ownership. The other parties, including inventors, who together own the entire right, title and interest are:

   Additional Statement(s) by the owner(s) holding the balance of the interest must be submitted to account for the entire right, title, and interest.

3. ☐ The assignee of an undivided interest in the entirety (a complete assignment from one of the joint inventors was made). The other parties, including inventors, who together own the entire right, title, and interest are:

   Additional Statement(s) by the owner(s) holding the balance of the interest must be submitted to account for the entire right, title, and interest.

4. ☐ The recipient, via a court proceeding or the like (*e.g.*, bankruptcy, probate), of an undivided interest in the entirety (a complete transfer of ownership interest was made). The certified document(s) showing the transfer is attached.

The interest identified in option 1, 2 or 3 above (not option 4) is evidenced by either (choose **one** of options A or B below):

A. ☑ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 029617, Frame 0601, or for which a copy thereof is attached.

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

   1. From: _____ To: _____

      The document was recorded in the United States Patent and Trademark Office at

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STATEMENT UNDER 37 CFR 3.73(c)

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☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☑ As required by 37 CFR 3.73(c)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature	January 15, 2013 Date
Krista S. Jacobsen Printed or Typed Name	59374 Title or Registration Number

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	RALEP025C1
First Inventor	Raleigh, Gregory G.
Title	Security Techniques For Device Assisted Services
Express Mail Label No.	n/a

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☑ **Fee Transmittal Form.** (PTO/SB/17 or equivalent)
2. ☑ **Applicant claims small entity status.** See 37 CFR 1.27.
3. ☑ **Specification.** [*Total Pages* 35] Both the claims and abstract must start on a new page *(For information on the preferred arrangement, see MPEP § 608.01(a))*
4. ☑ **Drawing(s).** *(35 U.S.C. 113)* [*Total Sheets* 11]
5. **Inventor's Oath or Declaration.** [*Total Sheets* 1] *(including substitute statements under 37 CFR 1.64 and assignments serving as an oath or declaration under 37 CFR 1.63(e))*
   a. ☑ Newly executed (original or copy)
   b. ☐ A copy from a prior application (37 CFR 1.63(d))
6. ☑ **Application Data Sheet.** **See Note below.* See 37 CFR 1.76 (PTO/AIA/14 or equivalent)
7. ☐ **CD-ROM or CD-R.** in duplicate, large table or Computer Program *(Appendix)*
   ☐ Landscape Table on CD
8. **Nucleotide and/or Amino Acid Sequence Submission.** *(if applicable, items a. – c. are required)*
   a. ☐ Computer Readable Form (CRF)
   b. ☐ Specification Sequence Listing on:
      i. ☐ CD-ROM or CD-R (2 copies); or
      ii. ☐ Paper
   c. ☐ Statements verifying identity of above copies

ADDRESS TO: **Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450**

ACCOMPANYING APPLICATION PARTS

9. ☐ **Assignment Papers.** (cover sheet & document(s)) Name of Assignee_____
10. ☐ **37 CFR 3.73(c) Statement.** ☐ **Power of Attorney.** *(when there is an assignee)*
11. ☐ **English Translation Document.** *(if applicable)*
12. ☐ **Information Disclosure Statement.** (PTO/SB/08 or PTO-1449) ☐ Copies of citations attached
13. ☐ **Preliminary Amendment.**
14. ☐ **Return Receipt Postcard.** *(MPEP § 503) (Should be specifically itemized)*
15. ☐ **Certified Copy of Priority Document(s).** *(if foreign priority is claimed)*
16. ☐ **Nonpublication Request.** Under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or equivalent.
17. ☐ **Other:**_____

***Note:** (1) Benefit claims under 37 CFR 1.78 and foreign priority claims under 1.55 **must** be included in an Application Data Sheet (ADS).
(2) For applications filed under 35 U.S.C. 111, the application must contain an ADS specifying the applicant if the applicant is an assignee, person to whom the inventor is under an obligation to assign, or person who otherwise shows sufficient proprietary interest in the matter. See 37 CFR 1.46(b).

18. CORRESPONDENCE ADDRESS

☑ The address associated with Customer Number: 106963 **OR** ☐ Correspondence address below

Name					
Address					
City		State		Zip Code	
Country		Telephone		Email	

Signature		Date	January 9, 2013
Name (Print/Type)	Krista S. Jacobsen	Registration No. (Attorney/Agent)	59374

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**
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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025C1
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

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

Secrecy Order 37 CFR 5.2

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

Inventor Information:

Inventor 1 Remove

Legal Name

Prefix	Given Name	Middle Name	Family Name	Suffix
	Gregory	G.	Raleigh	

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

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Mailing Address of Inventor:

Address 1	350 Marine Parkway, Suite 300		
Address 2			
City	Redwood Shores	**State/Province**	CA
Postal Code	94061	**Country**	US

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

Correspondence Information:

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

☐ **An Address is being provided for the correspondence Information of this application.**

Customer Number	106963		
Email Address	patent@headwaterllc.com	Add Email	Remove Email

Application Information:

Title of the Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		
Attorney Docket Number	RALEP025C1	**Small Entity Status Claimed**	☒
Application Type	Nonprovisional		
Subject Matter	Utility		
Suggested Class (if any)		**Sub Class (if any)**	
Suggested Technology Center (if any)			
Total Number of Drawing Sheets (if any)	11	**Suggested Figure for Publication (if any)**	

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025C1
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

Publication Information:

☐ Request Early Publication (Fee required at time of Request 37 CFR 1.219)
☐ **Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

Representative Information:

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

Please Select One:	◉ Customer Number	○ US Patent Practitioner	○ Limited Recognition (37 CFR 11.9)
Customer Number	106963		

Domestic Benefit/National Stage Information:

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

Prior Application Status	Pending		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	Continuation of	12/694445	2010-01-27
Prior Application Status	Pending		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/694445	Continuation of	12/380780	2009-03-02
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/694445	non provisional of	61/206354	2009-01-28
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/694445	non provisional of	61/206944	2009-02-04
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/694445	non provisional of	61/207393	2009-02-10
Prior Application Status	Expired		Remove

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025C1
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/694445	non provisional of	61/207739	2009-02-13
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/694445	non provisional of	61/252151	2009-10-15
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/380780	non provisional of	61/206354	2009-01-28
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/380780	non provisional of	61/206944	2009-02-04
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/380780	non provisional of	61/207393	2009-02-10
Prior Application Status	Expired		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
12/380780	non provisional of	61/207739	2009-02-13

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

Foreign Priority Information:

This section allows for the applicant to claim benefit of foreign priority and to identify any prior foreign application for which priority is not claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(a).

Remove

Application Number	Country[1]	Filing Date (YYYY-MM-DD)	Priority Claimed
			○ Yes ◉ No

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Authorization to Permit Access:

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

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025C1
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

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

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

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

Applicant Information:

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

Applicant 1

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

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

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

Name of the Deceased or Legally Incapacitated Inventor :

If the Assignee is an Organization check here. ☒

Organization Name	Headwater Partners I LLC

Mailing Address Information:

Address 1	350 Marine Parkway, Suite 300		
Address 2			
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Country	US	Postal Code	94065
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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025C1
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

Email Address	patent@headwaterllc.com

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

Signature:

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

Signature				Date (YYYY-MM-DD)	2013-01-09
First Name	Krista S.	Last Name	Jacobsen	Registration Number	59374

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Attorney Docket No. RALEP025C1

APPLICATION FOR UNITED STATES PATENT

SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

By Inventor(s):

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SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

CROSS REFERENCE TO OTHER APPLICATIONS

[0001] This application is a continuation of Application No. 12/694,445 (Attorney Docket No. RALEP025), filed January 27, 2010, entitled SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES, which is a continuation-in-part of Application No. 12/380,780 (Attorney Docket No. RALEP007), filed March 2, 2009, entitled AUTOMATED DEVICE PROVISIONING AND ACTIVATION, both of which are incorporated herein by reference for all purposes.

[0002] Application No. 12/694,445 (Attorney Docket No. RALEP025), filed January 27, 2010, entitled SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES, claims the benefit of provisional Application No. 61/206,354 (Attorney Docket No. RALEP001+), filed January 28, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD, provisional Application No. 61/206,944 (Attorney Docket No. RALEP002+), filed February 4, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD, provisional Application No. 61/207,393 (Attorney Docket No. RALEP003+), filed February 10, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD, provisional Application No. 61/207,739 (Attorney Docket No. RALEP004+), filed February 13, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD, and provisional Application No. 61/252,151 (Attorney Docket No. RALEP025+), filed on October 15, 2009, entitled SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES, all of which are incorporated herein by reference for all purposes.

[0003] Application No. 12/380,780 (Attorney Docket No. RALEP007), filed March 2, 2009, entitled AUTOMATED DEVICE PROVISIONING AND ACTIVATION, claims the benefit of provisional Application No. 61/206,354 (Attorney Docket No. RALEP001+), filed January 28, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD, provisional Application No. 61/206,944 (Attorney Docket No. RALEP002+), filed February 4, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD, provisional Application No. 61/207,393 (Attorney Docket No. RALEP003+), filed

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February 10, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD, and provisional Application No. 61/207,739 (Attorney Docket No. RALEP004+), filed February 13, 2009, entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD.

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BACKGROUND OF THE INVENTION

[0004] With the advent of mass market digital communications, applications and content distribution, many access networks such as wireless networks, cable networks and DSL (Digital Subscriber Line) networks are pressed for user capacity, with, for example, EVDO (Evolution-Data Optimized), HSPA (High Speed Packet Access), LTE (Long Term Evolution), WiMax (Worldwide Interoperability for Microwave Access), DOCSIS, DSL, and Wi-Fi (Wireless Fidelity) becoming user capacity constrained. In the wireless case, although network capacity will increase with new higher capacity wireless radio access technologies, such as MIMO (Multiple-Input Multiple-Output), and with more frequency spectrum and cell splitting being deployed in the future, these capacity gains are likely to be less than what is required to meet growing digital networking demand.

[0005] Similarly, although wire line access networks, such as cable and DSL, can have higher average capacity per user compared to wireless, wire line user service consumption habits are trending toward very high bandwidth applications and content that can quickly consume the available capacity and degrade overall network service experience. Because some components of service provider costs go up with increasing bandwidth, this trend will also negatively impact service provider profits.

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BRIEF DESCRIPTION OF THE DRAWINGS

[0006] Various embodiments of the invention are disclosed in the following detailed description and the accompanying drawings.

[0007] FIG. 1 illustrates a secure execution environment for device assisted services in accordance with some embodiments.

[0008] FIG. 2 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0009] FIG. 3 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0010] FIG. 4 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0011] FIG. 5 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0012] FIG. 6 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0013] FIG. 7 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0014] FIG. 8 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0015] FIG. 9 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0016] FIG. 10 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

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[0017] FIG. 11 illustrates another secure execution environment for device assisted services in accordance with some embodiments.

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DETAILED DESCRIPTION

[0018] The invention can be implemented in numerous ways, including as a process; an apparatus; a system; a composition of matter; a computer program product embodied on a computer readable storage medium; and/or a processor, such as a processor configured to execute instructions stored on and/or provided by a memory coupled to the processor. In this specification, these implementations, or any other form that the invention may take, may be referred to as techniques. In general, the order of the steps of disclosed processes may be altered within the scope of the invention. Unless stated otherwise, a component such as a processor or a memory described as being configured to perform a task may be implemented as a general component that is temporarily configured to perform the task at a given time or a specific component that is manufactured to perform the task. As used herein, the term 'processor' refers to one or more devices, circuits, and/or processing cores configured to process data, such as computer program instructions.

[0019] A detailed description of one or more embodiments of the invention is provided below along with accompanying figures that illustrate the principles of the invention. The invention is described in connection with such embodiments, but the invention is not limited to any embodiment. The scope of the invention is limited only by the claims and the invention encompasses numerous alternatives, modifications and equivalents. Numerous specific details are set forth in the following description in order to provide a thorough understanding of the invention. These details are provided for the purpose of example and the invention may be practiced according to the claims without some or all of these specific details. For the purpose of clarity, technical material that is known in the technical fields related to the invention has not been described in detail so that the invention is not unnecessarily obscured.

[0020] In some embodiments, security techniques for device assisted services are provided. In some embodiments, secure service measurement and/or control execution partition techniques for device assisted services are provided. In some embodiments, a secure execution environment for device assisted services is provided. In some embodiments, a secure stack for device assisted services is provided. In some embodiments, a secure memory for device assisted services is provided. In some embodiments, a secure modem for device assisted services is

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provided (e.g., providing a secure communication link between the modem/modem driver and a service processor and/or agent on the device, such as a communications device or an intermediate networking device). In some embodiments, one or more secure monitoring points for device assisted services are provided. In some embodiments, one or more secure monitoring points with verification for device assisted services are provided (e.g., a secured monitoring point can be provided in a modem, which communicates securely to a secured execution environment in a CPU/processor, which can then verify such service usage measures). In some embodiments, a secure bus for device assisted services is provided. In some embodiments, a secure execution environment in the CPU/processor for device assisted services is provided. In some embodiments, secure access to a secure execution environment(s) for device assisted services is provided (e.g., securing communication from a bottom of the stack, such as modem drivers, which require credentials to access the bus as controlled by a service processor or secure agent on the device, and in which the traffic on the bus is encrypted). In some embodiments, various secure execution environments for device assisted services are provided using various hardware partition techniques (e.g., secure memory, secure modems, secure memory partition(s) in the CPU/processor), as described herein.

[0021] In some embodiments, device assisted services (DAS) provide for one or more of device based service usage measurements, service usage policy implementation, service usage accounting, service usage control, and any of the other functions described in various embodiments that assist, replace, and/or augment network based functions. For example, various DAS embodiments perform one or more of the following: facilitate and control activation to one or more access service networks; measure access and/or service usage on one or more access networks; control access and/or service usage on one or more access networks; account for different types of service usage on one or more access networks; implement quality of service (QOS) controls, collect and report QOS traffic demand, aggregate multiple device QOS demand reports to asses a measure of overall network QOS demand, and/or facilitate QOS resource allocation; and/or facilitate roaming between access networks. There are many more functions and embodiments for DAS as described with respect to various embodiments.

[0022] In some embodiments, various program/functional elements that perform the functions to implement various DAS embodiments are referred to herein as DAS agents or

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device assisted service agents, or in some embodiments, more specific terms are used to be more descriptive in specific examples. In some embodiments, device assisted service agent functions include service measurements and/or service measure recording and/or service measure reporting (e.g., to the service controller, the device, the user, or other device agents) and/or service measure synchronization (e.g., between device and network). In some embodiments, device assisted service agent functions include service usage controls and/or service usage control policy settings. In some embodiments, service usage controls include one or more of network authorization, network authentication, network admission, access control, service usage activity classification, allowing or disallowing one or more service usage activity and traffic shaping for one or more service usage activity.

[0023] In some embodiments, device assisted service agent functions include one or more of the following: reporting service usage to QOS control elements in the network, receiving QOS assignment from the network, reporting QOS assignments to the network, and/or communicating with QOS service reservation elements in the network. In some embodiments, device assisted service agent functions include one or more of implementing QOS service controls on the device based on one or more of the following criteria: fair queuing of service usage activities, differentiated QOS based on an assigned QOS hierarchy of service usage activities, service usage activity QOS assignments from the network for one or more service usage activities, service usage activity policy directives from the network for one or more service usage activities.

[0024] In some embodiments, a service control link is used for communication between the device assisted service agents and the service controller. In some embodiments, the service control link is a secure link (e.g., an encrypted communication link).

[0025] In some embodiments, the device assisted service agent functions include device assisted service system communication, measuring and/or recording and/or reporting and/or synchronizing service measures, observing communicating information for service control integrity, communicating information for service control policy instructions and/or settings, or updating device assisted software and/or agent settings.

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[0026] In some embodiments, device assisted service on the device includes the following: service measurements, service controls, user interface and usage reporting, user policy options, accept policy instructions, protected execution partition provided to prevent hacking, malware, errors, and other security techniques. In some embodiments, device assisted service on the server includes one or more of the following: set policy, set configurations, install/update agents, check usage versus policy, check proper operation of agents, synchronize usage from network to device, and other verification techniques. For example, when errors in policy enforcement are detected, servers can perform actions to either further observe, quarantine, or suspend the device.

[0027] In some embodiments, a control server/control service network element receives service measures from the device. In some embodiments, the control server/control service network element receives service measures from the network. In some embodiments, the control server/control service network element sets policies and manages service across multiple networks (e.g., while one modem is shown in various figures, multiple modems can be employed for multiple networks with consistent service usage measures, service controls, QOS controls, UI (User Interface), user preferences, user usage reporting, and/or other settings/controls across different networks).

[0028] In some embodiments, traffic type refers to one or more of the following: best effort network traffic, real-time traffic (e.g., live voice such as VOIP, live video, etc.), streaming traffic, multi-cast traffic, uni-cast traffic, point to point traffic, file types, traffic associated with an application, real time traffic, traffic with an assigned priority, traffic without an assigned priority, and traffic for a certain network.

[0029] In some embodiments, service usage activity refers to a usage of service by a device. In some embodiments, service usage activity can be one or more of connection to an access network, connection to certain destinations, URLs or addresses on a network, connection to the network by one or more applications, transmission of certain types of traffic, a type of transaction based service, a type of advertising based services, or a combination of one or more of the following: an application type, a network destination/address/URL, a traffic type, and a transaction type.

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[0030] In some embodiments, protection of the device assisted service agents/functional elements to protect the functions that perform the device assisted functions is provided with a protected execution partition on the CPU (Central Processor Unit), APU (Auxiliary Processor Unit), or another hardware based processor. For example, such hardware protected execution capabilities in the CPU, APU, or other processor can be combined in some embodiments with either OS software functions or other native mode software functions to create secure program execution partitions as described herein. In some embodiments, the term host is used to refer to the hardware and firmware and/or software system that executes the device applications and networking stack. In some embodiments, some of the device assisted service agents/functions are implemented in a modem execution partition environment.

[0031] FIG. 1 illustrates a secure execution environment 100 (e.g., for a communications device) for device assisted services in accordance with some embodiments. As shown in FIG. 1, the device execution environments include program/functional elements for a communications (e.g., a communications device can be an intermediate networking device, such as 3G/4G WWAN to WLAN bridges/routers/gateways, femto cells, DOCSIS modems, DSL modems, remote access/backup routers, and other intermediate network devices, or a mobile communications device, such as a mobile phone, a PDA, an eBook reader, a music device, an entertainment/gaming device, a computer, laptop, a netbook, a tablet, a home networking system, and/or any other mobile communications device) device that utilizes the modem subsystems #1 (125) through #N (127) to connect to one or more of the access networks #1 (136) through #N (138). In some embodiments, a communications device includes multiple program execution partitions. As shown in FIG. 1, four execution partitions are provided: an application execution partition 102 in which, for example, application programs execute, a kernel execution partition 112 in which, for example, the lower level drivers and basic low level OS programs execute, a protected device assisted service (DAS) execution partition 114 (also referred to as protected DAS partition) in which, in some embodiments, some or all of the device assisted service agents and/or functions execute, and a modem execution partition 124 in which, for example, the modem program elements execute and, in some embodiments, some or all of the device assisted service agents and/or functions execute. In some embodiments, each of these execution partitions are optimized for different software functions, each providing programs with the basic physical memory, data memory, CPU or APU or modem processor execution resources, high

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level and/or low level OS, memory management, file storage, I/O device resources (e.g., user interface (UI), peripherals, etc.), network communications stack, other device resources, and/or other resources that are required or used for operation of the programs. The collection of these hardware and software resources for the CPU or APU is sometimes referred to herein with the term host.

[0032] As shown, FIG. 1 illustrates an application execution partition 102 and a kernel execution partition 112, which are shown as separate partitions within the device execution environments. For example, this separation is based on the manner in which "kernel programs" (e.g., drivers and network stack, etc.) are commonly supported as compared to "application programs" (e.g., browsers, word processors, user interfaces, etc.) within the context of several different popular operating systems (OS) (e.g., Windows, UNIX, Linux, MAC OS, certain mobile device OSs, certain embedded device OSs, etc.). In some embodiments, this functional separation is not required, and, in some embodiments, other functional separations are supported.

[0033] As shown in FIG. 1, protected device assisted service agents, such as the protected DAS partition device assisted service agents 110, execute in the protected DAS partition 114 while unprotected device assisted service agents and/or OS networking stack elements and applications (e.g., applications 106A through 106C) execute outside of the secure device assisted service execution partition 114, such as the application partition device assisted service agents 104 and the OS networking stack and/or kernel partition device assisted service agents 108. For example, the protected DAS partition 114 can make it more difficult for a hacker, malware or system errors to compromise, attack or modify the device assisted service measurements, service policy implementation or service usage control operations on the device (e.g., communications device). In some embodiments, the protected DAS partition 114 need not support open access to all programs and OS elements so that it can be easier to protect. Also, as shown, a bus driver 116 in the application execution partition 102 provides for communication with a modem bus 120, which is in communication with a bus driver 121 in the modem execution partition 124. The protected DAS partition also includes a host service control link 118, which facilitates communication with a host secure channel 150 as shown.

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[0034] In some embodiments, the protected DAS partition 114 is a protected execution partition on the main device that is supported by certain configurations in the host (e.g., a secure virtual execution environment or a separate hardware security function). For example, this protected execution partition can be used to provide added service measurement integrity and/or service control integrity for a device assisted service enabled device. In some embodiments, as described herein, the operating system (OS) also performs a role in establishing the protected execution partition for secure operation of device assisted services, and, in some embodiments, this role is performed by native software or firmware operating on secure hardware elements.

[0035] In some embodiments, the DAS agents responsible for maintaining service control integrity execute in the protected DAS partition 114. For example, the protected DAS partition device assisted service agents 110 can include one or more of the following: one or more service usage measurement functions; some or all of the device networking stack functions that are monitored and/or controlled by the device assisted services system; device drivers that interface to an OS networking stack to observe or manipulate stack traffic; access control integrity functions; service policy control functions; service UI functions; application identification functions, and/or functions to classify service usage activities by combinations of application, address/URL and/or traffic type; modem bus driver functions; and/or modem data encryption functions to prevent other unauthorized programs from bypassing the device assisted service measurements and/or controls by directly accessing the modem around the stack. In some embodiments, the system designer or a given set of design criteria determine which of the various described device assisted agent functions should be executed in protected DAS partition 114 to strengthen the service control integrity for the system.

[0036] In some embodiments, the device operating system provides for the protected DAS partition 114 in addition to conventional security features available in the operating system. In some embodiments, the protected DAS partition 114 provides an execution partition with increased program execution protection in which, for example, service measurement and/or service control programs (agents) can execute in a mode that provides for higher access control integrity (e.g., proper service usage reporting and/or service measurement and/or service control system operation with increased protection from attacks, errors, malware, etc.). In some

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embodiments, a hardware assisted secure execution partition provides for increased program execution protection for device assisted service agent functions.

[0037] In some embodiments, a service control link (e.g., host service control link 118 via host secure channel 150 to network service control link 152) is used for communication between the device assisted service agents and a service controller 122. In some embodiments, the service control link is a secure link (e.g., an encrypted communications link). In some embodiments, an encrypted secure control link can be implemented over the higher layers of the network stack (e.g., TCP, HTTP, TLS, etc.), and, in some embodiments, the encrypted link can be implemented over lower layers in the network stack, such as the IP layer or the access network layers (e.g., the WWAN device management channels or signaling layers). In some embodiments, service control link security is provided at least in part by encrypting link traffic between the device and the service controller 122. In some embodiments, service control link security is provided at least in part by running the service control link device side program agents in the protected DAS partition 114. In some embodiments, service control link security is achieved at least in part by restricting access to the service control link to certain device assisted service agents that are allowed to communicate with the service controller 122. In some embodiments, the agents that are allowed to communicate with the service control link perform such communications using encrypted communications. In some embodiments, the encrypted communications is accomplished with a secure inter-agent communication bus on the device. In some embodiments, the only mechanism for modifying the configuration of the operation, execution code, execution instructions and/or settings of certain device assisted service processor agents executing in the protected DAS partition 114 is through the service control link. In some embodiments, the only mechanism for modifying any program elements executing inside the protected DAS partition 114 is through the service control link so that only the service controller 122 may modify the operation or service policy settings for the agents located in the service measurement and/or service control execution partition.

[0038] As shown in FIG. 1, various server functions within the service controller 122 are provided. In some embodiments, a service history server 158 collects service usage measures from one or more of the device DAS agents and/or from various sources of potential network based service usage databases, such as the access network service usage 142 (e.g., carrier

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charging data record (CDR) systems), private network service usage 144 (e.g., MVNO or enterprise network service usage accounting system), and/or billing, mediation service usage log, reconciliation 148 (e.g., service provider billing or mediation system). In some embodiments, an access control integrity server 156 is used to compare various access control verification checks to ensure that the device assisted service agents have not been compromised. The various embodiments used in the access control integrity server 156 to perform these integrity checks are described with respect to various embodiments. Some embodiments include comparing device based service usage measures versus the service usage that should result if the desired service policy were properly implemented, comparing device based service usage measures versus the service usage that should result if the desired service policy were properly implemented with device based service usage measures that are executing in the protected DAS partition 114 and/or the modem execution partition 124, comparing network based service usage measures versus the service usage that should result if the desired service policy were properly implemented, and comparing network based service usage measures with device based service usage measures. In some embodiments, a policy control server 154 stores policy settings for the various service plans that can be implemented on the device, and communicates the appropriate policy settings to the appropriate device DAS agents.

[0039] In some embodiments, the service controller 122 has secure access to service measures, service control settings, software images, software security state(s), and/or other settings/functions, for example, by virtue of the hardware enhanced execution partition and the secure channel into the protected DAS partition 114. For example, the host secure channel 150 can be encrypted employing keys that are public/private or point to point private. Also, other link security, for example, can be implemented as described herein. For example, servers can ensure that the link remains authenticated and information is validated. For example, the service controller can perform one or more of the following verification techniques: compare the monitored service usage versus the policy, compare the monitored service usage versus other service usage measures and/or combined with various other network service usage measures.

[0040] In some embodiments, the protected DAS partition 114 includes a host service control link 118 as shown in FIG. 1 that works in combination, that is, in communication with a network service control link 152 to send and receive secure messages between the service

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controller and the host via a host secure channel 150. In some embodiments, the protected DAS partition 114 only accepts new program images from the service controller 122 and not from local programs or disks. In some embodiments, the protected DAS partition 114 cannot communicate with other applications and/or kernel programs. In some embodiments, the protected DAS partition 114 can also communicate with other applications and/or kernel programs but only to gather information or to set settings. In some embodiments, the protected DAS partition 114 can also communicate with other applications and/or kernel programs but only through a restricted encrypted communication bus that restricts outside program access to protected programs or agent functions, and can also restrict the agents inside of the protected partition from accepting unauthorized information or code modifications from programs outside the protected partition. Various other security techniques can be provided for the DAS execution environments as will be apparent to one of ordinary skill in the art in view of the embodiments described herein.

[0041] In some embodiments, the protected DAS partition 114 is created by employing CPU or APU hardware security features in addition to or in alternative to other software security features (e.g., virtual execution partitions) that can be provided by the operating system and/or other software. In some embodiments, the host hardware security features are provided with the operating system secure kernel operating modes. In some embodiments, the host hardware security features used for secure device assisted service execution partition operation are independent of the operating system kernel (e.g., implemented in secure program partitions in a separate secure program area not directly controlled by the OS and/or software that does not have access to the partitions).

[0042] In some embodiments, the hardware security features that support the protected DAS partition 114 include preventing other elements on the device from writing and/or reading certain memory areas reserved for device assisted service agents and/or control link functions. In some embodiments, this memory protection function is accomplished by locating the memory in a secure hardware partition that cannot be accessed by unauthorized device program elements (e.g., a separate bank of isolated memory space within the host CPU). In some embodiments, this memory protection function includes encrypting traffic to and from memory so that only authorized device program elements posses the counterpart encryption capability to access the

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memory. In some embodiments, the mechanism to access device assisted service agent memory and/or certain data elements is restricted to authorized device assisted service agents and/or the service controller via the service control link so that unauthorized program elements on the device cannot alter the device assisted service agent code and/or operation.

[0043] In some embodiments, the hardware security features that support the protected DAS partition 114 includes preventing unauthorized elements on the device from accessing the protected storage and/or file storage (e.g., "protected storage," such as disk storage, non-volatile memory, embedded non-volatile memory, such as NVRAM, flash or NVROM, securely embedded non-volatile memory, and/or other types of storage) that is used to store the device assisted service agent programs. In some embodiments, this protected storage is maintained within the secure hardware partitions that also execute one or more of the device assisted service agents so that only authorized device assisted service agents have access to the storage locations. In some embodiments, the images that are stored in such protected file storage must be properly encrypted and signed for a boot loader to authorize loading the device assisted service agent programs into execution memory, and in some embodiments, if the images are not properly signed then an access control integrity error is generated and/or the program is not loaded. In some embodiments, such properly signed DAS images can only be obtained from the service controller. In some embodiments, such DAS images can only be loaded into protected file storage by the service controller. In some embodiments, the hardware security features that prevent unauthorized elements on the device from accessing the protected file storage include encrypting all traffic to and from the secure storage so that only authorized device program elements possess the counterpart encryption capability to access the storage. In some embodiments, access or access rights to re-program a device assisted service agent program store is restricted to the service controller via the service control link so that unauthorized program elements on the device are not authorized to alter the device assisted service agent code and/or operation.

[0044] In some embodiments, the hardware security features that protect device assisted service agent storage include a protected DAS partition in which an access control integrity agent function is isolated from other device program elements, and a secure service control link is also isolated in a similar manner, and the access control integrity agent scans the execution memory,

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data memory and/or file storage used by one or more device assisted services agents to measure and/or control services. In some embodiments, the purpose of the scan is to detect changes to the device assisted service agent code and/or data. In some embodiments, the purpose of the scan is to detect other unauthorized program elements or data that may be present in reserved or protected areas used for device assisted service agent execution. In some embodiments, reports of such scan audits are reported over the service control link to the service controller for further processing by use of cloud based resources to identify access control integrity violations. In some embodiments, the access control integrity agent functions include one or more of hashing other device assisted security agents, querying other device assisted security agents, observing the operation of other device assisted security agents or monitoring service measures and then either evaluating the results locally on the device to determine if they are within pre-defined allowable parameters or sending at least some of the results to the service controller for further analysis via the service control link. In some embodiments, the scan audits are compared with earlier versions of the scans to compare code configuration or operational characteristics. In some embodiments, the scan audits are compared against known databases for the code or operational characteristics that should be present in the DAS agents.

[0045] In some embodiments, an access control integrity agent, or a new version of the access control integrity agent can be downloaded by the service controller over the secure service control link. For example, this technique provides for a real time assessment of device service control security state as described above in the event that corruption or compromise of the secure device assisted service agent(s) has occurred. In some embodiments, the access control integrity agent that is downloaded can have a different configuration and/or operation than any agent previously loaded onto the device so that it is difficult or impossible for a hacker or malware to spoof the operation of the agent in a short period of time. For example, by requiring the agent to report security assessments back to the server in a period of time that is typically less than what is required to spoof the agent, the agent will either report back an accurate assessment of device status or will be blocked by a hacker or malware, and both of these conditions can provide the information required to take action if the device assisted services system has been corrupted or compromised.

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[0046] In some embodiments, the protected DAS partition and/or the modem execution partition can be used to securely store some or all of the device credentials that are used for one or more of device group association, activation, authorization to the access network and/or the DAS network, service level, and service usage accounting and/or billing.

[0047] In some embodiments, the modem subsystem also includes DAS elements that strengthen the access control integrity of the DAS system. As shown in FIG. 1, one or more modems can include, in some embodiments, DAS agent functions labeled modem partition DAS agents 126. The modem execution partition 124 of the modem sub system #1 (125) of the modem execution partition 124 includes modem partition DAS agents 126 in communication (e.g., secure communication, such as using encrypted communications) with a modem 128 and a modem service control link 130, which is in communication with the network service control link 152 via the modem secure channel #1 (132), as shown. Also, the modem 128 is in communication (e.g., secure communication, such as using encrypted communications) with the access network #1 (136), which is in communication with the access network service usage 142 and the Internet 140, which is in communication with a private network 146, which is in communication with the private network service usage 144, as shown.

[0048] Example embodiments for DAS agent functions that execute in the modem execution partition include modem encryption and modem service usage measures. In other embodiments, the modem execution partition can also include higher level DAS agent functions, such as stack traffic classification, stack manipulation, access control, and/or traffic control. For example, the modem execution partition can also include a full service processor that is fully capable of managing all aspects of service usage measurement and/or service control. It will now be apparent to one of ordinary skill in the art that the modem execution partition can employ a number of the service security embodiments described in the context of the protected DAS partition, for example, to enhance the service integrity of the DAS system. For example, the DAS agents on the modem can be stored in an encrypted and signed format on non-volatile (NV) memory on the modem that is only accessible by the network service control link or by a local secure control link from the protected DAS partition to the modem execution partition. As shown in FIG. 1, a separate secure modem control channel (e.g., modem secure channel #1 (132) through modem secure channel #N (134)) that is distinct from the host secure control channel

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150 is provided. This separate modem control channel can either be implemented over the higher network layers of the device or over the lower access network layer so that special access to access network resources is required to even connect to the modem DAS agents 126 thereby further enhancing service control related security.

[0049] In some embodiments, the protected DAS partition provides for performing the DAS agent functions required for parental controls, enterprise WWAN management controls or roaming controls, and/or usage reporting in the protected execution space. In view of the DAS embodiments described herein, it will now be apparent to one of ordinary skill in the art how to implement such protected controls for these various and other application scenarios.

[0050] In some embodiments, a protected DAS partition provides for performing a virtual machine (VM) on top of a secure machine. The device application OS that is accessible by software that can be installed without special permissions can be isolated from the secure hardware and/or OS that is running under the VM. Using these techniques, malware can be "cocooned in" on the VM OS rather than "walled out" as discussed with respect to various embodiments described herein.

[0051] In some embodiments, communication between program/functional elements outside of the protected DAS partition to DAS agents inside the protected DAS partition is controlled by a secure encrypted channel. In some embodiments, only programs/functions that have access to communicate with DAS agents are allowed to do so, and, in some embodiments, even these outside programs are not allowed to modify the DAS agent configuration, only to report information and/or receive information.

[0052] For example, various embodiments can be used to connect to multiple access networks through multiple modems, with each modem potentially being associated with a different set of DAS service policies corresponding to the different types of access networks supported. In some embodiments, such as for 3G/4G modems, WWAN/WLAN modems, and various other multiple modem embodiments, the multiple modems can also be provided on the same multi-mode modem subsystem rather than on different modem subsystems.

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[0053] In some embodiments, the various techniques and embodiments described herein can be readily applied to intermediate networking devices as will now be apparent to one of ordinary skill in the art. For example, an intermediate networking device can includes some or all of the DAS agents for managing, controlling, and/or measuring service usage for one or more devices in communication with a wireless network via the intermediate networking device, in which the DAS agents can be executed in secure execution environments or secure execution partitions using the various techniques described herein. In some embodiments, intermediate networking devices include, for example, WWAN/WLAN bridges, routers and gateways, cell phones with WWAN/WLAN or WWAN/Bluetooth, WWAN/LAN or WWAN/WPAN capabilities, femto cells, back up cards for wired access routers, and other forms/types of intermediate networking devices.

[0054] FIG. 2 illustrates another secure execution environment 200 for device assisted services in accordance with some embodiments. In particular, FIG. 2 illustrates an embodiment in which DAS agents do not actually replace the OS network stack elements, but instead one or more DAS agents include device driver programs that interface into the network stack and pass (e.g., securely communicate) traffic information or actual traffic back and forth with the stack. These device driver interface constructs are labeled OS driver framework and interface 208 as shown in FIG. 2. Example OS system constructs that provide for this type of architecture for DAS agents include Windows NDIS and/or TDI drivers, Windows Filter Platform (WFP), Berkeley Packet Filter, ipfw (e.g., a BSD packet filter that can be used for various OSs, such as Unix, Linux, MAC OS), and/or other platforms/programs performing these or similar functions. While these OS stack options are not secure in themselves, if the drivers that interface with them are secured as illustrated in FIG. 2 by executing the drivers in the protected DAS partition 214, then higher overall access control integrity/security levels can be achieved.

[0055] As shown in FIG. 2, the service measurement and/or policy control drivers 210 executed in the protected DAS partition 214 represent the DAS drivers that interface to the OS stack device driver interface constructs labeled OS driver framework and interface 208 executed in the kernel execution partition 212, which are in communication with/interface with OS Stack API(s) 207. As also shown, applications, such as applications 106A through 106C execute in the application execution partition 202. In some embodiments, service access control integrity is

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further enhanced by placing additional measurement points outside of the network stack, so that, for example, if the network stack service usage reporting is hacked, corrupted, and/or compromised, there is a secure additional or back-up service measure located on the device and/or in the network (e.g., modem agent 226 as shown in FIG. 2, which provides a service measurement point in the modem for measuring service usage by the device, and as shown also provides for secure communication with the modem agent 226 using modem encryption 225). For example, the service measure provided by the modem agent 226, modem encryption 225, and/or modem bus 120 functions shown in FIG. 2 can be executed in a protected partition (e.g., modem execution partition 124 as shown in FIG. 2 can be implemented as a secure or protected partition using the various techniques described herein).

[0056] FIG. 3 illustrates another secure execution environment 300 for device assisted services in accordance with some embodiments. As shown, some stack elements are executed in the kernel execution partition 312 and some stack elements are executed in the protected DAS execution partition 314. In some embodiments, the DAS agents 104 executed in the application execution partition 302 are directly monitoring and/or controlling stack traffic by intercepting it and imposing additional traffic measurement and/or filtering. Examples of such techniques are described herein with respect to various embodiments. As shown in FIG. 3, the network stack elements 308 are the OS stack elements that reside in the kernel execution partition 312 and the protected DAS network stack elements 310 are the stack elements that reside in protected DAS execution partition 314. For example, as some or potentially all of the stack network traffic processing resides in the protected DAS execution partition 314, a high level of service control integrity can be maintained using these techniques. For example, the modem bus driver 121 can be executed in a secure execution partition, such as modem execution partition 324, which can be implemented as a secure execution partition using the various techniques described herein, or the modem bus driver 121 can be executed in the protected DAS execution partition 314, so that unauthorized programs can be blocked from accessing the access network through the modem.

[0057] In some embodiments, the entire stack is executed in the protected DAS execution partition 314 with only a stack API executing in kernel execution partition 312. Various other embodiments involve implementing a minimum (e.g., in terms of a number of agents and/or functionality) in the protected DAS execution partition 314 required to secure a service measure

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that can be used to confirm the integrity of the service policy implementation (e.g., as described with respect to various other embodiments disclosed herein). As will now be apparent to one of ordinary skill in the art, various combinations of stack processing functions can be implemented in a secure host execution partition to strengthen the service measurement and/or service control integrity of the DAS system using the techniques and/or similar techniques to the various techniques described herein.

[0058] In some embodiments, the stack elements implemented in the protected DAS execution partition can include stack API, sockets layer, TCP, UDP, service measurements at one or more points in the stack, IP layer processing, VPN/IPSEC, PPP, access control, traffic classification, traffic queuing, traffic routing, traffic QOS, traffic demand reporting to QOS allocation servers, traffic statistics reporting to the QOS servers, traffic QOS reservation requests including by traffic type or app type or service priority to the servers, traffic throttling, traffic statistics gathering, traffic QOS priority identification, modem drivers, modem data encryption, and/or other stack element functionality or features.

[0059] In some embodiments, the above discussed service control mechanisms are controlled by policy commands received over the service control link from the servers or other authorized network elements. In some embodiments, the device also reports usage measures to servers or other authorized network elements. In some embodiments, the device also reports QOS demand to the servers or other authorized network elements and/or accepts QOS instructions from the servers or other authorized network elements. In some embodiments, the device reports traffic statistics, projected traffic demand, application usage, projected QOS demand can all be reported to the servers or other authorized network elements for the purpose of provisioning the right amount of data bandwidth and traffic priority to the device, and the servers or other authorized network elements aggregate such reports from many different devices to project needed allocations across the entire network and make global bearer channel level or base station level decisions bearer channel allocation and bearer channel QOS allocation decisions, which can also be tied into a bearer channel provisioning, or bearer channel QOS provisioning apparatus or other authorized network elements located in the access network.

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[0060] For example, as will now be apparent to one of ordinary skill in the art in view of the various embodiments described herein, additional security measures, can be added in some embodiments to augment the secure service partitioning, including, for example, access control integrity checks. For example, in addition to the service control policy instructions that can be received from the servers or other authorized network elements, an intermediate policy control agent can be present to make additional higher level decisions on how instantaneous policy should be implemented.

[0061] As shown in FIG. 3, the modem control link, shown as modem local channel 330, provides a link from local connection to the host service control link 118, which in turn connects through the host secure channel 150 to the service controller 152. This communication channel can also be implemented or configured to provide for encrypted communication and, in some embodiments, can be used as an alternative to the direct connection from the modem service control link to the network service control link as disclosed with respect to other figures and various embodiments as described herein.

[0062] As shown in FIG. 3, the final stack elements that feed or communicate with the modem bus driver 121 are the protected DAS network stack elements 310 located in the protected DAS execution partition 314 (illustrated as a solid line in FIG. 3), or, in some embodiments, can be the network stack elements 308 located in the kernel execution partition 312 (illustrated as a dashed line in FIG. 3). In some embodiments, these final stack elements feed or communicate with the modem subsystem 125. In some embodiments, the modem subsystem 125 includes an encrypted link so that the stack elements 310 in the protected DAS execution partition 314 can communicate with the modem 128 but other software programs or hardware elements cannot, for example, thereby preventing the service measures and/or controls from being inappropriately bypassed or otherwise comprised. For example and as similarly discussed above, the modem subsystem 125, for example, can include its own the protected execution partition using various techniques described herein. The modem protected execution partition, for example, can also include a service measure (e.g., modem agent 226 can provide such a service measurement point in the modem subsystem 125, as similarly described above with respect to FIG. 2) to increase service control integrity verification as depicted by service measure. The modem service measure can be included in protected execution partition that can

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only be accessed by the service controller 122 by way of the modem local channel 330, or the modem service measure can only be accessed by another DAS agent 310 in protected execution partition 314. In some embodiments, the modem local channel 330 is implemented as a secure channel (e.g., an encrypted communication channel between the modem service control link 130 and the host service control link 118). As described herein, the modem driver can reside in protected service execution environment, or the modem traffic can be encrypted within service execution environment. For example, the encryption settings can be controlled by various secure control servers.

[0063] FIG. 4 illustrates another secure execution environment 400 for device assisted services in accordance with some embodiments. In particular, FIG. 4 illustrates a direct stack manipulation option performed by the DAS agents executed in the protected DAS execution partition 414, including, as shown, an app(lication) identify agent 420, an access control integrity agent 422, a policy control agent 424, a policy implementation agent 426, a service measure/service monitoring agent 428, a modem encryption agent 430, and a bus driver 432. For example, the policy implementation agent 426 performs access control and/or traffic shaping according a set of service control policies. The service control policies, for example, can be set by the service controller 122 or by the service controller 122 in coordination with the policy control agent 422. As shown the app identify agent 420 is in communication with the various applications 106A through 106C executed in the application execution partition 402. As also shown, the various applications 106A through 106C executed in the application execution partition 402 are in communication with the OS stack and/or stack API(s) 408 executed in the kernel execution partition 412.

[0064] In some embodiments, the protected service measure agent 428, the modem encryption agent 430, the modem driver agent 432, the application identifier agent 420, the access control integrity agent 422, and the policy control agent 424 are all implemented in protected DAS partition 414, as shown. In some embodiments, as will now be apparent to one of ordinary skill in the art, a subset of these functions can be implemented in a protected execution partition, such as the protected DAS partition, in various circumstances.

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[0065] FIG. 4 also similarly shows various embodiments that are available for network based service usage measures and interfacing to the mediation and billing systems, and it should be understood that any or all of the embodiments and figures can be employed in the context of carrier networks, MVNOs, private networks, or open networks supporting enterprise IT manger controls, parental controls, multi-network controls, and/or roaming controls.

[0066] FIG. 5 illustrates another secure execution environment 500 for device assisted services in accordance with some embodiments. In particular, FIG. 5 is similar to that FIG. 4 except that FIG. 5 illustrates a modem service control link 132 that is connected directly to the service controller 122 via the network service control link 152 (e.g., via a modem secure channel). In some embodiments, a modem control link for DAS is established locally on the device or through an entirely different control channel, which, in some embodiments, provides enhanced security as discussed herein (e.g., it is very difficult to hack a service usage measure or service control that cannot be accessed on the device).

[0067] FIG. 6 illustrates another secure execution environment 600 for device assisted services in accordance with some embodiments. In particular, FIG. 6 illustrates a policy implementation agent 616 that includes the entire networking stack running in protected execution partition 614 and an OS stack API 608 that includes an application identifying function 620 in the kernel execution partition 612.

[0068] FIG. 7 illustrates another secure execution environment 700 for device assisted services in accordance with some embodiments. In particular, FIG. 7 illustrates DAS agents that do not replace the OS network stack elements, but instead one or more DAS agents are comprised of device driver programs that interface into the network stack and pass traffic information or actual traffic back and forth with the stack. These device driver interface constructs are labeled OS driver framework and interface 722 in FIG. 7 as similarly shown in and described with respect to FIG. 2, along with OS stack API 708, which includes application identifier function 720 as similarly discussed above with respect to FIG. 6, and are executed in kernel execution partition 712. Also, as shown, application partition DAS agents 104 are executed in application execution partition 702. The main difference between the embodiment in FIG. 7 and that shown in and described with respect to FIG. 2 is that the service measure agent

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428, modem encryption agent 430, and modem driver agent 432 are executed in the protected DAS partition 714, as shown in FIG. 7. For example, this provides for enhanced service control security as described herein with respect to various embodiments.

[0069] FIG. 8 illustrates another secure execution environment 800 for device assisted services in accordance with some embodiments. In particular, FIG. 8 illustrates a more simplified embodiment that is similar to that of FIG. 7. In FIG. 8, only an access control integrity agent 422 and a service measure 428 are executed in protected DAS partition 814, and the bus driver 432 and the service measurement and/or policy control drivers 210 are executed in the kernel execution partition 712. This embodiment illustrates that provided that at least one protected service measure is provided on the device, then the DAS service control integrity can be very high. For example, if it is not possible to access the program code or control traffic for the service measure agent 428, and the host service control link 118 except through the encrypted control channel from the service controller 122, then this simplified configuration can be almost as secure as that possible with network based service measures. It will now be apparent to one of ordinary skill in the art that this technique similarly applies to a service measure and control link similarly implemented in a protected modem execution partition 324. In some embodiments, the access control integrity agent 422 provides additional security, for example, in the event that the protected DAS partition 814 is breached or compromised.

[0070] FIG. 9 illustrates another secure execution environment 900 for device assisted services in accordance with some embodiments. In particular, FIG. 9 illustrates an embodiment similar to that of FIG. 8 except that, in particular, in addition to the service measure being executed in protected DAS partition 914, the modem encryption agent 430 is also implemented in/executed in the protected DAS partition 914. For example, this prevents unauthorized software from defeating the service measurements and/or service controls by going around the network stack directly to the modem.

[0071] FIG. 10 illustrates another secure execution environment 1000 for device assisted services in accordance with some embodiments. In particular, FIG. 10 illustrates an embodiment similar to that of FIG. 9 except that, in particular, there are additional app partition DAS agents 104 executing in the application execution partition 702. For example, this illustrates that some

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DAS agents can be implemented in application space (e.g., UI agent, policy control agent, and various other DAS agents as described herein) while still maintaining a high level of service measurement and/or control security as long as there are a few key measures and/or controls implemented in protected execution partitions using the various techniques described herein.

[0072] FIG. 11 illustrates another secure execution environment 1100 for device assisted services in accordance with some embodiments. In particular, FIG. 11 illustrates how the server cloud can be assisted by the on board access control integrity agent to detect tampering with other service measurement(s) and/or control agent(s), or to protect the service measurement and/or control system from being attacked by malware and/or otherwise comprised. As shown, the access control integrity agent 422 executes inside the protected DAS partition 1114 and is in communication with file storage 1130 (e.g., for persistently maintaining device status and/or other settings or status or monitoring information). The access control integrity agent 422 performs the various access control integrity check functions as, for example, described herein with respect to various embodiments, and, in some embodiments, in coordination with the servers over the secure control channel (e.g., host secure channel 150). In some embodiments, the access control integrity agent 422 can send the service controller 122 information about the other service measurements and/or control agents so that the service controller 122 can determine if the agents are working properly or have been tampered with or otherwise compromised. For example, such information can include sections of code, hashes, code segments, code variations from a previous image, code variations from a historical image, responses to queries, checksums, observations of operating behavior or patterns, service usage, policy implementation behavior, and/or other information that may be indicative of tampering, corruption, and/or a compromise of any of the device agents/measures. In some embodiments, the access control integrity agent 422 checks the operating environment for signs of malware signatures, or sends application and/or driver information or other information about the operating environments to the servers for further processing to detect malware. In some embodiments, the access control integrity agent 422 performs basic operations on protected DAS partition memory, kernel execution partition memory areas, application execution partition memory areas, on disk storage areas or on other file storage areas to detect known malware hashes or signatures, etc., or the access control integrity agent 422 can send the hashes to the

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servers for comparison against malware databases (e.g., to compare against signatures for known malware or for further behavioral based or other security/malware detection techniques).

[0073] In some embodiments, the DAS system is implemented in a manner that is robust to losses in service control link (e.g., coverage outages on a WWAN link or loss of connection on a wired link). In some embodiments, the DAS system to be implemented in a manner that is robust to one or more server elements in the service controller going offline or failing for any reason. The following embodiments facilitate these techniques, as described below.

[0074] In some embodiments, it is advantageous for one or more of the device assisted service agents to maintain a record of the service usage reports and/or other reporting that is provided to the service controller regarding device service control state (e.g., present service plan settings, current service usage policy settings, current user preference settings, current DAS settings, current encrypted control channel and/or local encrypted communication channel key information, current DAS agent status reports, current DAS agent security state reports, current ambient service usage and/or transaction records, current service control integrity threat reports, user status information, device status information, application status information, device location, device QOS state, and/or other state and/or settings information). In addition to such information that exists on the device and is reported to the service controller, additional service information can be derived and recorded in the service controller, such as information received from outside the device and/or analysis of the device reported information (e.g., network based service usage measures, analysis of device service usage, comparison of device reports with other information, analysis of access control integrity agent reports, information received from roaming networks, information input to the service controller from parental control terminals, enterprise control terminals, virtual service provider control terminals, access network authorization information, service integrity violation level, and many other types of information used to properly measure and/or control the device services). For example, the information reported from the device and received or derived outside the device that is required to adequately define the actions needed from the service controller to maintain proper DAS system operation is sometimes referred to herein as the "device service state."

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[0075] In some embodiments, the service controller functions are highly scalable and can be executed on a number of hardware and software platforms (e.g., different virtual machines in a server, different servers in a data center, or different servers located in different data centers). For example, in such embodiments the service controller can be designed so that the programs that execute the various service controller server functions can derive all of the information necessary to properly manage the device at any moment in time by knowing past device service state and current service state that adequately define the next set of actions the service controller needs to implement to properly maintain the DAS system operation. By designing the system in this way, if the server that is running the service controller server functions for any given device in question were to go down or become disconnected from the device, then another server could later resume proper operation of the DAS system by assigning another service controller server function to the device and recovering or restoring the necessary past device service state and the necessary current device service state.

[0076] For example, this can be accomplished in some embodiments as described below. The service controller saves the current device service state into a common database (e.g., which can be centralized or distributed) that is available to all service controller server functions. The device service state is saved each time the device communicates with the service controller, or at regular time intervals, or a combination of both. The device retains its current and past service state reports even after they are reported at least until the service controller sends the device a message confirming that the service controller has saved a given device service state. Once the device receives this save confirmation for a given device state report then it is no longer required to retain that particular device state report once the device has no further use for it. In this manner, if a service controller server function goes down then a save confirmation for one or more reported device states is not transmitted to the device by the service controller, and the device can retain that report. A server load balancer detects that a given service controller server function has gone down, looks up the devices that were being controlled by that service controller server function, finds that the device in question was one of those devices and re-assigns a new service controller server function (either in the same data center or in another data center) to control the device in question. The newly assigned service controller server function then recovers all past device states that were recorded in the service controller database and are required to properly manage the DAS system, and then asks the device to transmit or re-transmit

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all device state reports that were not saved in the service controller database. Once the device transmits or re-transmits the requested information, the newly assigned service controller function then has the information it needs to properly manage the DAS system, it saves all the reported device state information, and then sends save confirmations to the device so that the device need no longer retain the older service state reports. The newly assigned service controller server function can then resume the DAS system operation with a set of actions that are identical or very similar to the actions that would have been taken by the original service controller server function if it had not gone down. One of ordinary skill in the art will now appreciate that the above techniques can also be used to accommodate temporary losses in the connection between the device and the service controller. For example, such techniques provide for a highly scalable and robust approach to implement a distributed service controller across multiple data centers for reliable service redundancy. In some embodiments, the past device service state information is saved in the protected DAS execution partition and/or the modem execution partition, for example, so that it is protected from corruption.

[0077] Although the foregoing embodiments have been described in some detail for purposes of clarity of understanding, the invention is not limited to the details provided. There are many alternative ways of implementing the invention. The disclosed embodiments are illustrative and not restrictive.

[0078] WHAT IS CLAIMED IS:

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CLAIMS

1. A method comprising:

receiving, over a service control link, a report from a wireless end-user device, the report comprising information about a device service state;

determining, based on the report, that a particular service policy setting of the wireless end-user device needs to be modified, the particular service policy setting being stored in a protected partition of the wireless end-user device, the protected partition configured to deter or prevent unauthorized modifications to the particular service policy setting, the particular service policy setting being associated with a service profile that provides for access by the wireless end-user device to a network data service over a wireless access network, the particular service policy setting configured to assist in controlling one or more communications associated with the wireless end-user device over the wireless access network; and

in response to determining that the particular service policy setting needs to be modified, sending configuration information to the wireless end-user device over the service control link, the configuration information configured to assist in modifying or allowing modifications to the particular service policy setting.

2. The method of claim 1, wherein the particular service policy setting assists in implementing a roaming control, a parental control, or an enterprise wireless wide-area network (WWAN) management control.

3. The method of claim 1, wherein the wireless end-user device is an intermediate networking device for forwarding traffic between a wireless wide-area network (WWAN) and a wireless local-area network (WLAN).

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4. The method of claim 1, wherein the wireless end-user device is an intermediate networking device comprising a cellular device, the intermediate networking device for forwarding traffic between the wireless access network and a second network.

5. The method of claim 1, wherein the wireless end-user device is an intermediate networking device, and the particular service policy setting assists one or more other end-user devices in communicating over the wireless access network via the intermediate networking device.

6. The method of claim 1, further comprising:

obtaining a service usage measure, the service usage measure accounting for the one or more communications associated with the wireless end-user device over the wireless access network; and

based on the service usage measure, taking an action.

7. The method of claim 6, wherein the service usage measure comprises a measure of a service usage activity.

8. The method of claim 6, wherein the action is to verify the service usage measure.

9. The method of claim 6, wherein the action is to quarantine or suspend the wireless end-user device.

10. The method of claim 6, further comprising obtaining secondary information associated with the wireless end-user device, and wherein the action is to verify the service usage measure using the secondary information.

11. The method of claim 1, further comprising receiving, from the wireless end-user device, an integrity report configured to assist a network element in identifying an access control integrity violation.

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12. The method of claim 1, wherein the configuration information comprises at least a portion of the service profile.

13. The method of claim 1, wherein the service control link is secured by an encryption protocol.

14. The method of claim 1, wherein the device service state comprises a service profile setting, a service usage policy setting, or a device-assisted services (DAS) setting.

15. The method of claim 1, wherein the device service state provides information about a user preference.

16. The method of claim 1, wherein the device service state comprises information associated with an encryption key.

17. The method of claim 1, wherein the device service state comprises an agent report, a service usage record, a transaction record, or an integrity report.

18. The method of claim 1, wherein the device service state comprises user status information, device status information, application status information, a device location, or a device quality-of-service (QOS) state.

19. A system comprising:

means for receiving, over a service control link, a report from a wireless end-user device, the report comprising information about a device service state;

means for determining, based on the report, that a particular service policy setting of the wireless end-user device needs to be modified, the particular service policy setting being stored in a protected partition of the wireless end-user device, the protected partition configured to deter or prevent unauthorized modifications to the particular service policy setting, the particular service policy setting being associated with a service profile that provides for access

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by the wireless end-user device to a network data service over a wireless access network, the particular service policy setting configured to assist in controlling one or more communications associated with the wireless end-user device over the wireless access network; and

means for sending configuration information to the wireless end-user device over the service control link, the configuration information configured to assist in modifying or allowing modifications to the particular service policy setting.

20. A wireless device comprising:

a protected partition for storing one or more service policy settings and configured to deter or prevent unauthorized modifications to the one or more service policy settings, the one or more service policy settings associated with a service profile that provides for access by the wireless device to a network data service over a wireless access network, the one or more policy settings configured to assist in controlling one or more communications associated with the wireless device over the wireless access network;

means for sending, over a service control link, a report to a network element, the report comprising information about a device service state; and

means for receiving, over the service control link, configuration information to assist in modifying at least one of the one or more service policy settings.

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ABSTRACT

[0079] Methods and systems for receiving a report from an end-user device, the report comprising information about a device service state; determining, based on the report, that a particular service policy setting of the end-user device needs to be modified, the particular service policy setting associated with a service profile that provides for access to a network data service over a wireless access network and configured to assist in controlling one or more communications between the end-user device and the wireless access network, the particular service policy setting stored in a protected partition configured to deter or prevent unauthorized modifications to the particular service policy setting; and, in response to determining that the particular service policy setting needs to be modified, sending configuration information to the end-user device, the configuration information configured to assist in modifying or allowing modifications to the particular service policy setting.

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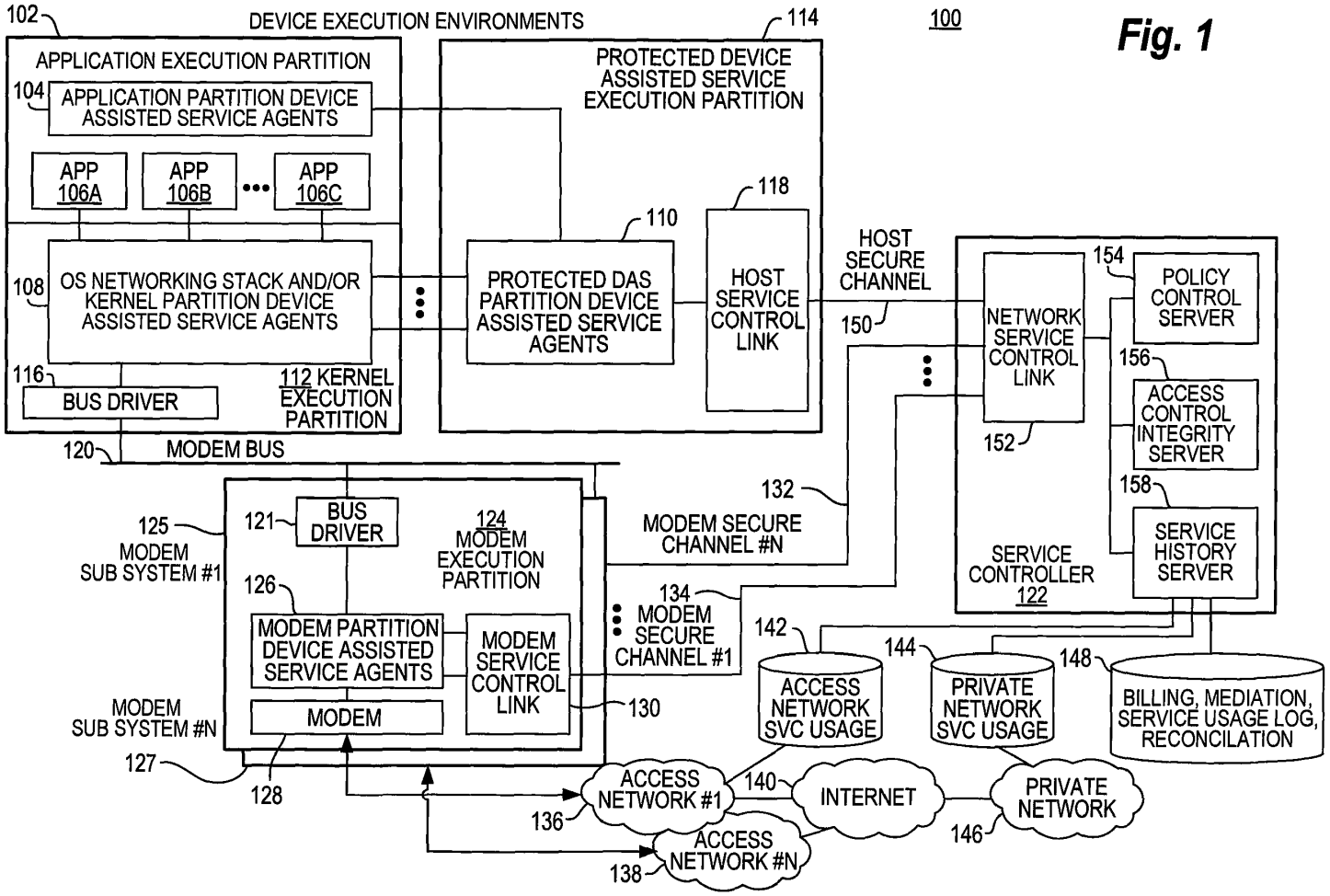


Fig. 1

Docket No. RALEP025C1
Title: SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
Inventor: Gregory G. Raleigh
1/11

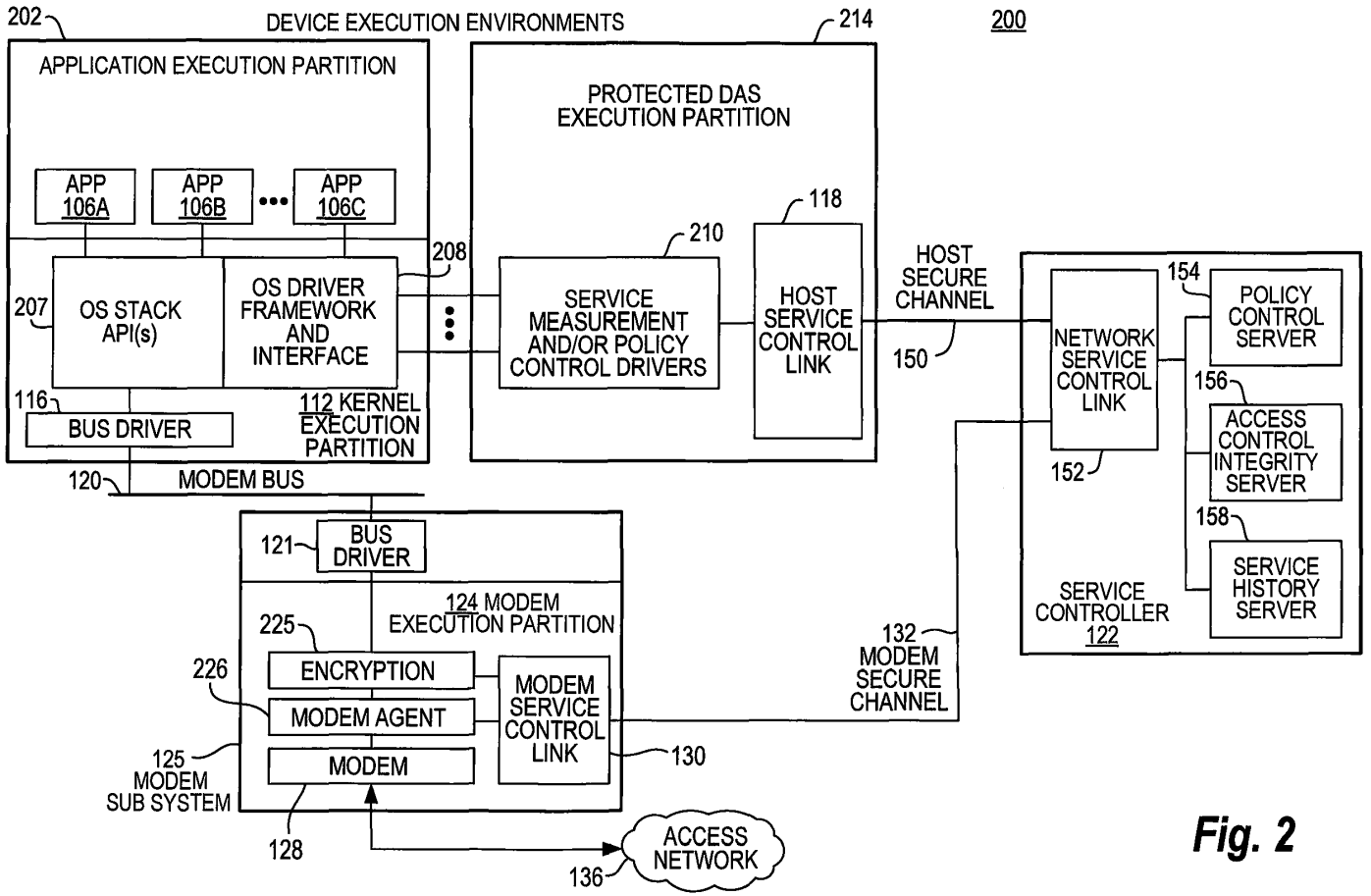

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MODEM SUB SYSTEM
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ACCESS NETWORK
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Fig. 2

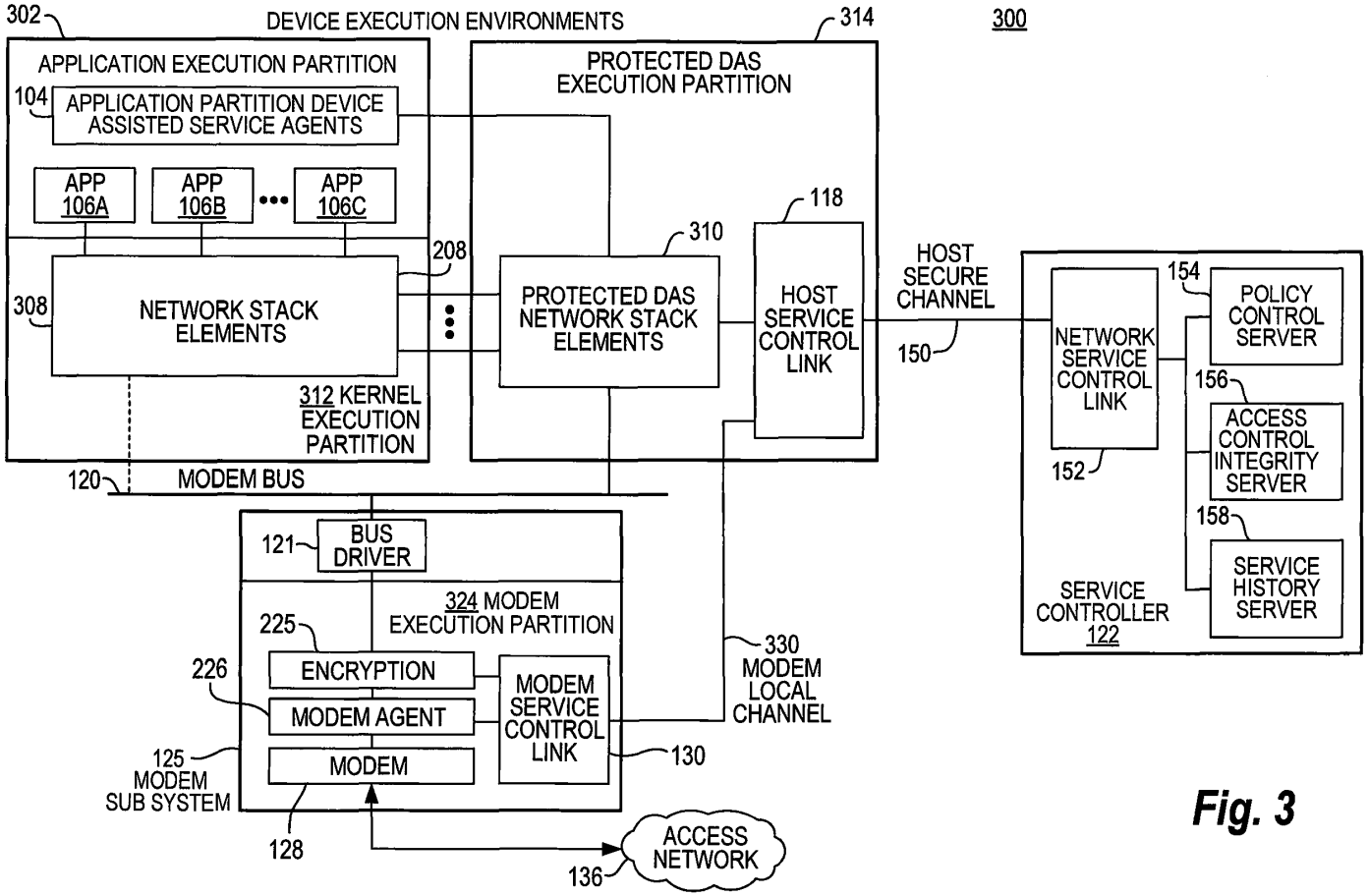

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SERVICE HISTORY SERVER
SERVICE CONTROLLER 122

Fig. 3

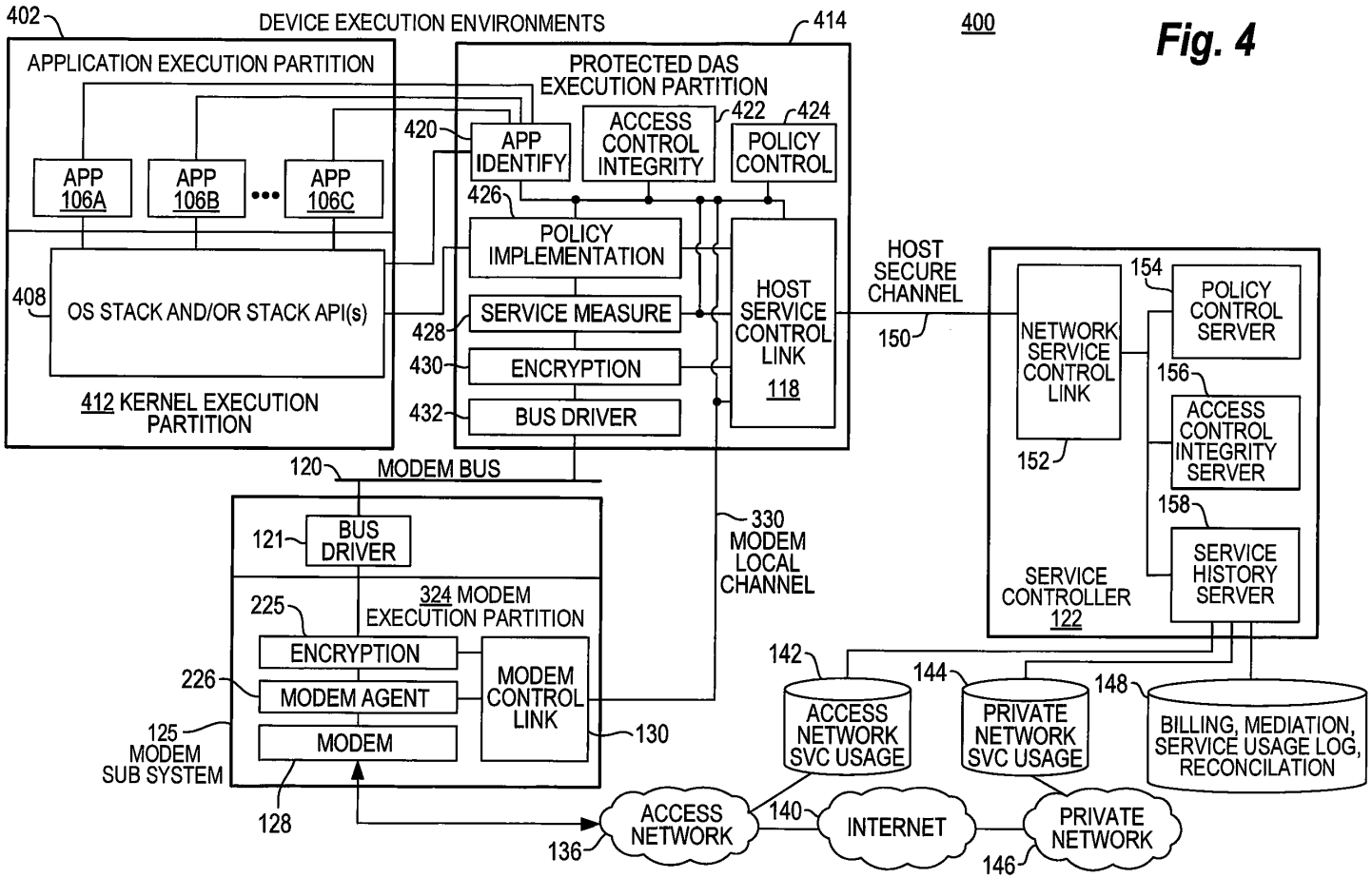

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POLICY CONTROL SERVER
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SERVICE HISTORY SERVER
SERVICE CONTROLLER 122
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MODEM LOCAL CHANNEL
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BUS DRIVER
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324 MODEM EXECUTION PARTITION
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MODEM AGENT
MODEM CONTROL LINK
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MODEM SUB SYSTEM
MODEM
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ACCESS NETWORK SVC USAGE
PRIVATE NETWORK SVC USAGE
BILLING, MEDIATION, SERVICE USAGE LOG, RECONCILATION
ACCESS NETWORK
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INTERNET
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Fig. 4

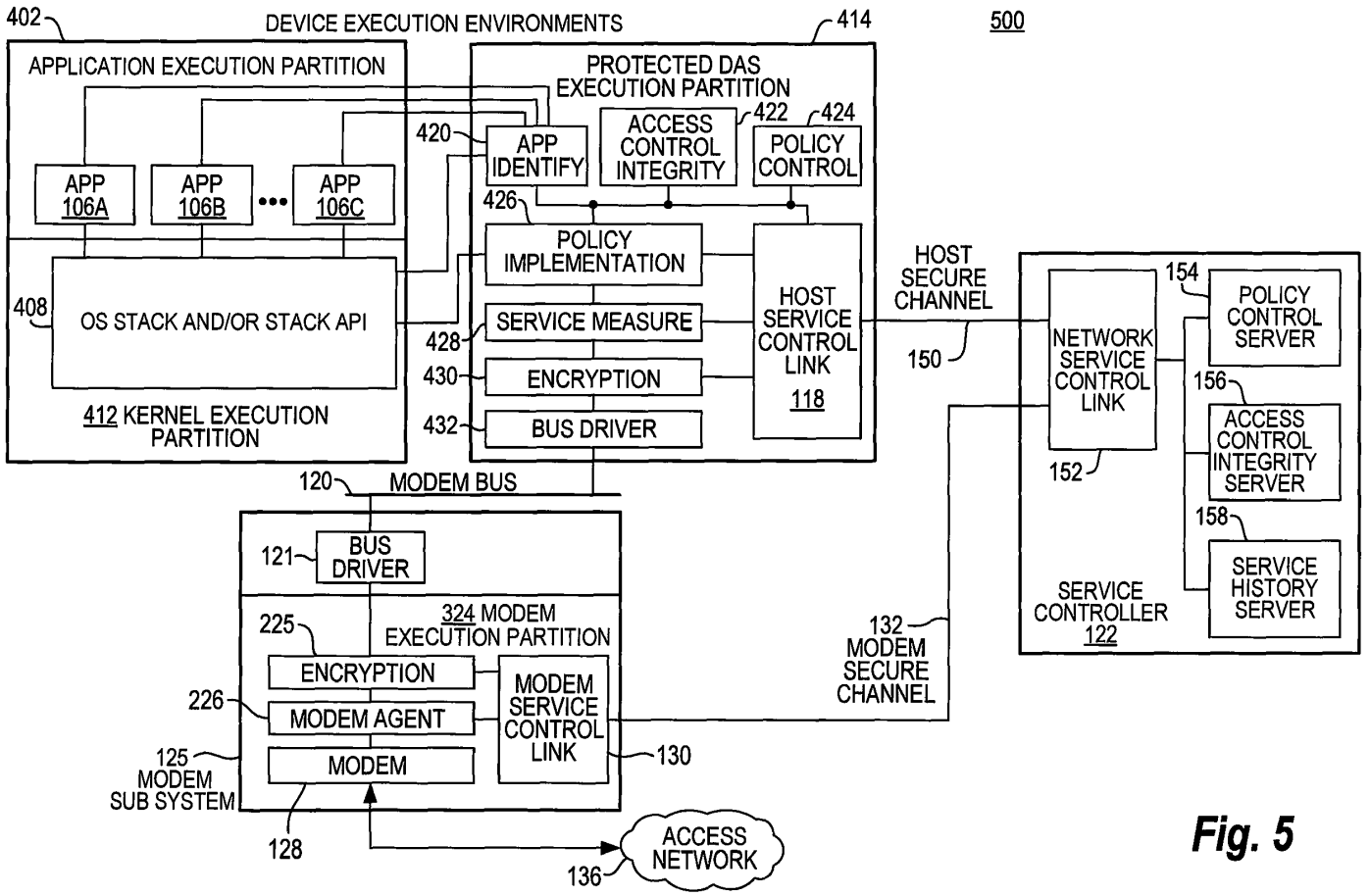

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324 MODEM EXECUTION PARTITION
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MODEM SECURE CHANNEL
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MODEM
128
ACCESS NETWORK
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Fig. 5

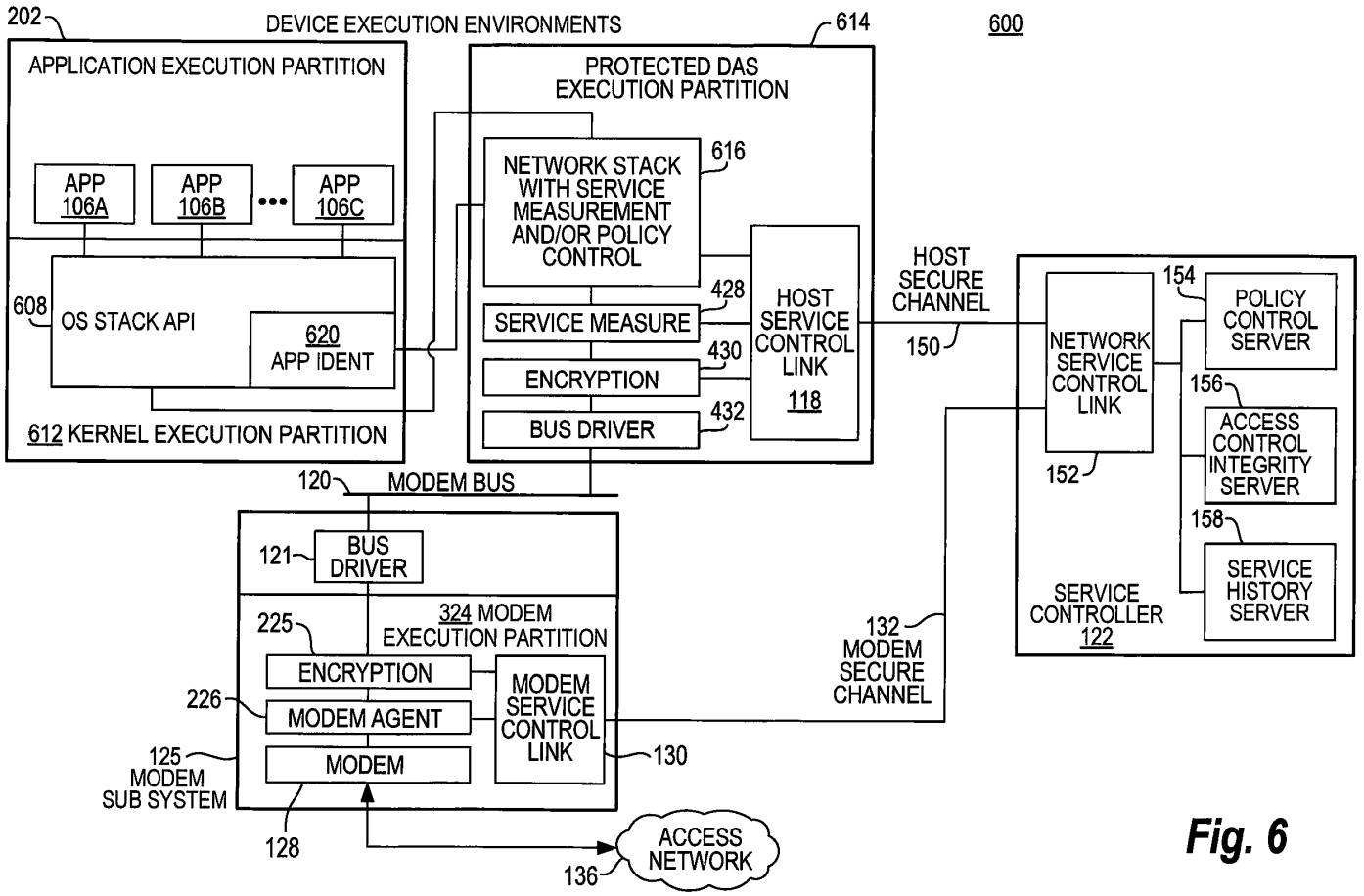

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620 APP IDENT
612 KERNEL EXECUTION PARTITION
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MODEM SERVICE CONTROL LINK
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Fig. 6

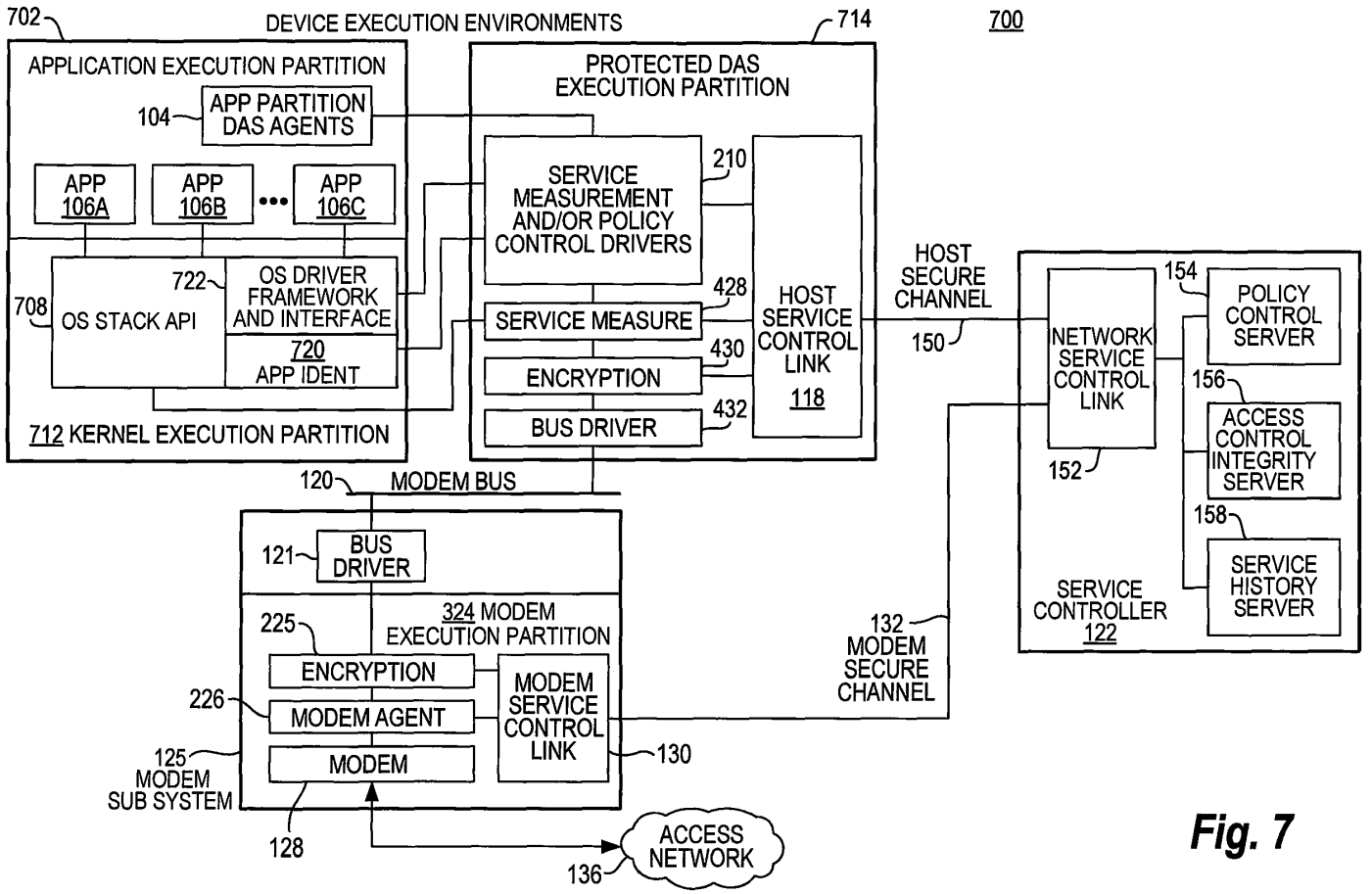

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Fig. 7

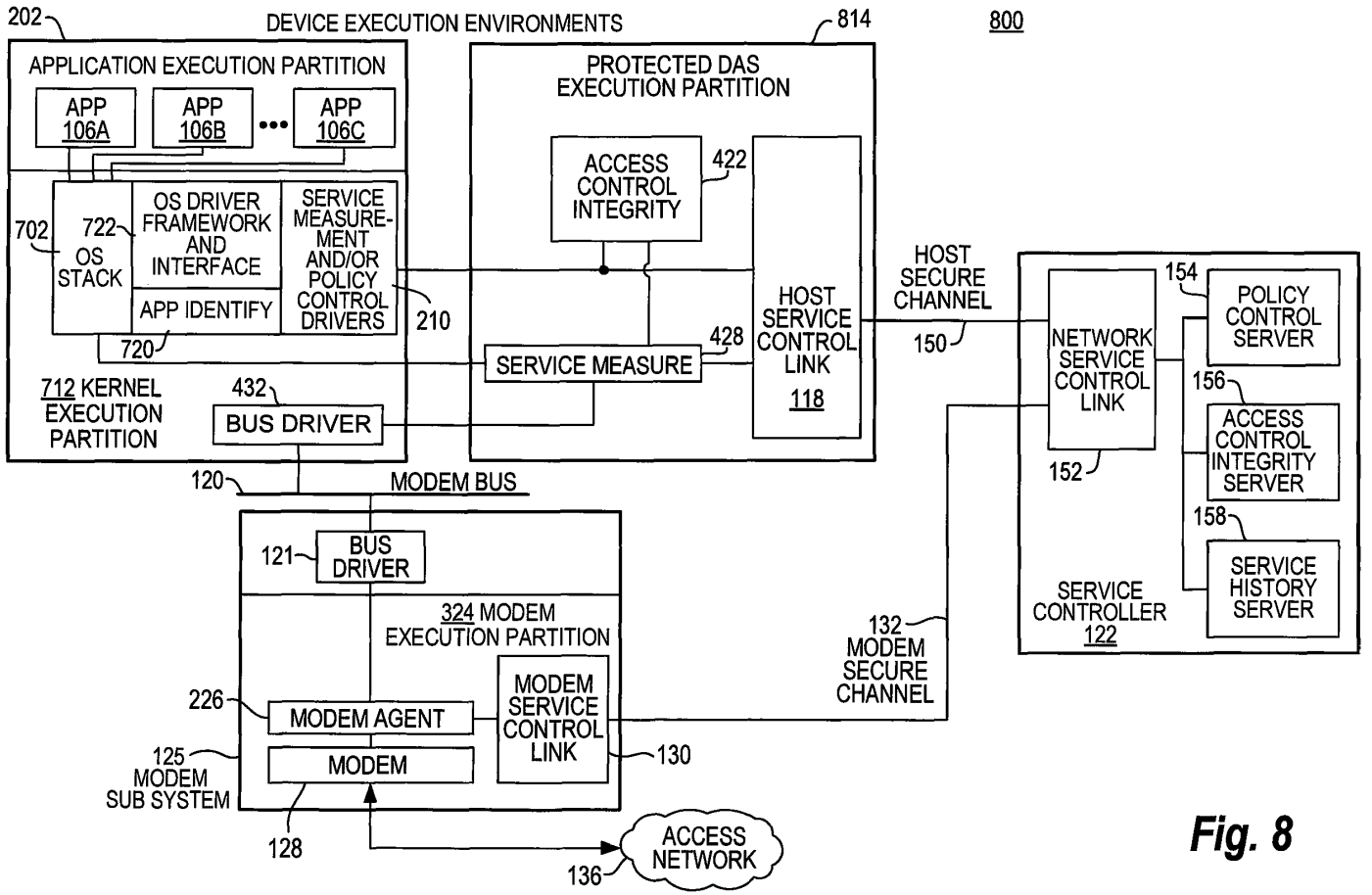

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ACCESS NETWORK
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Fig. 8

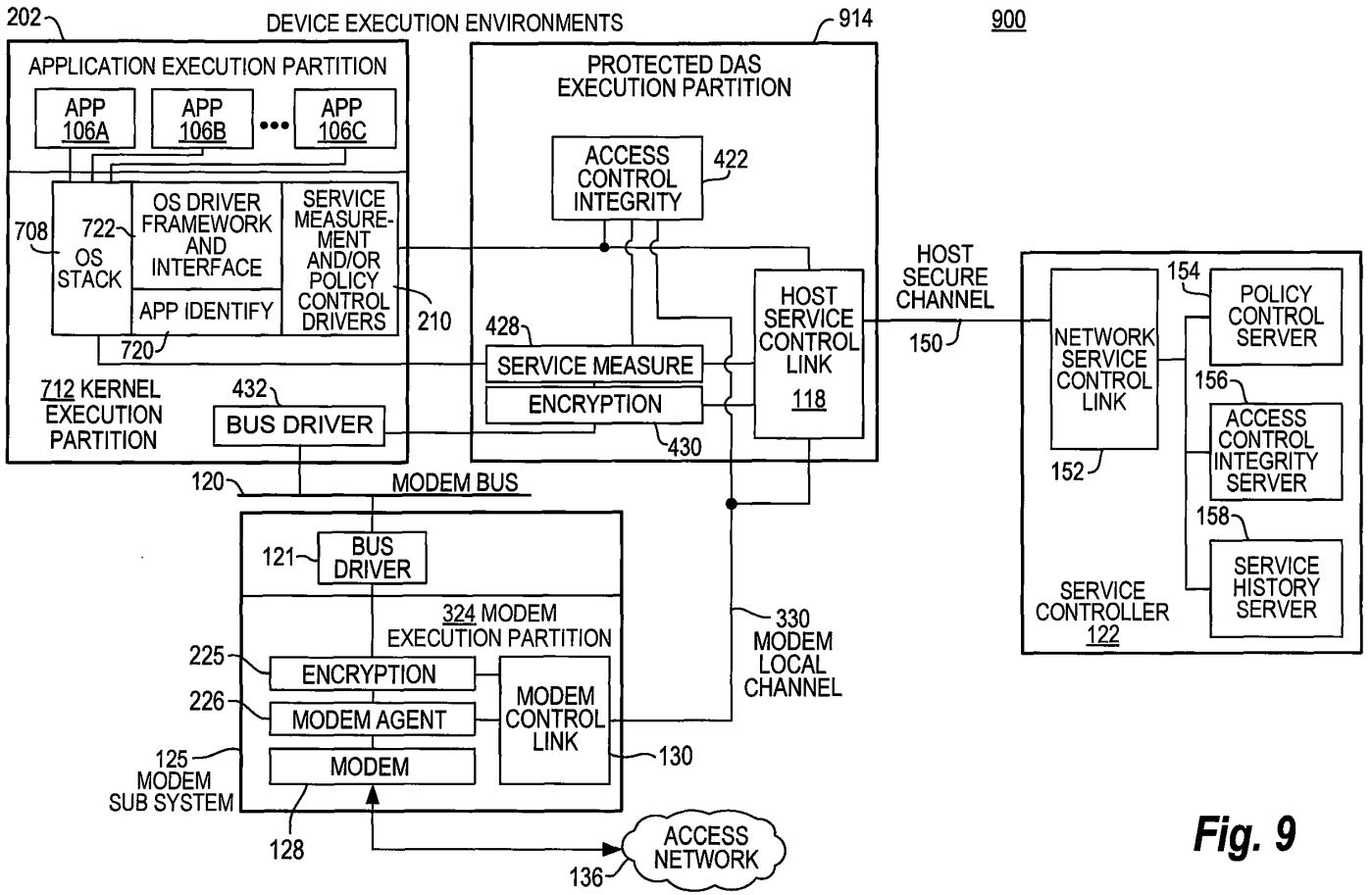


Fig. 9

Docket No. RALEP025C1
Title: SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
Inventor: Gregory G. Raleigh
9/11

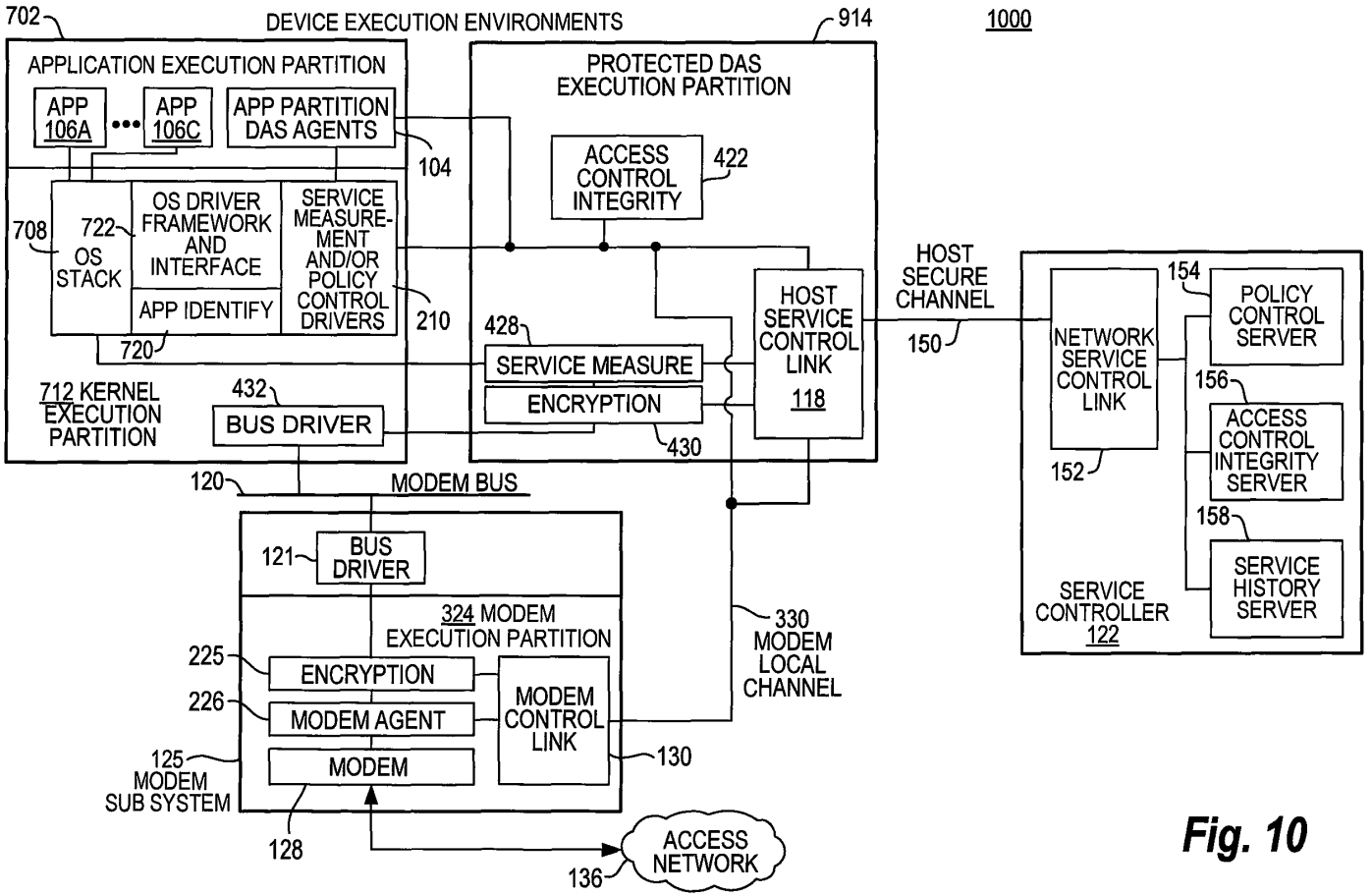

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158
SERVICE HISTORY SERVER
SERVICE CONTROLLER
122

Fig. 10

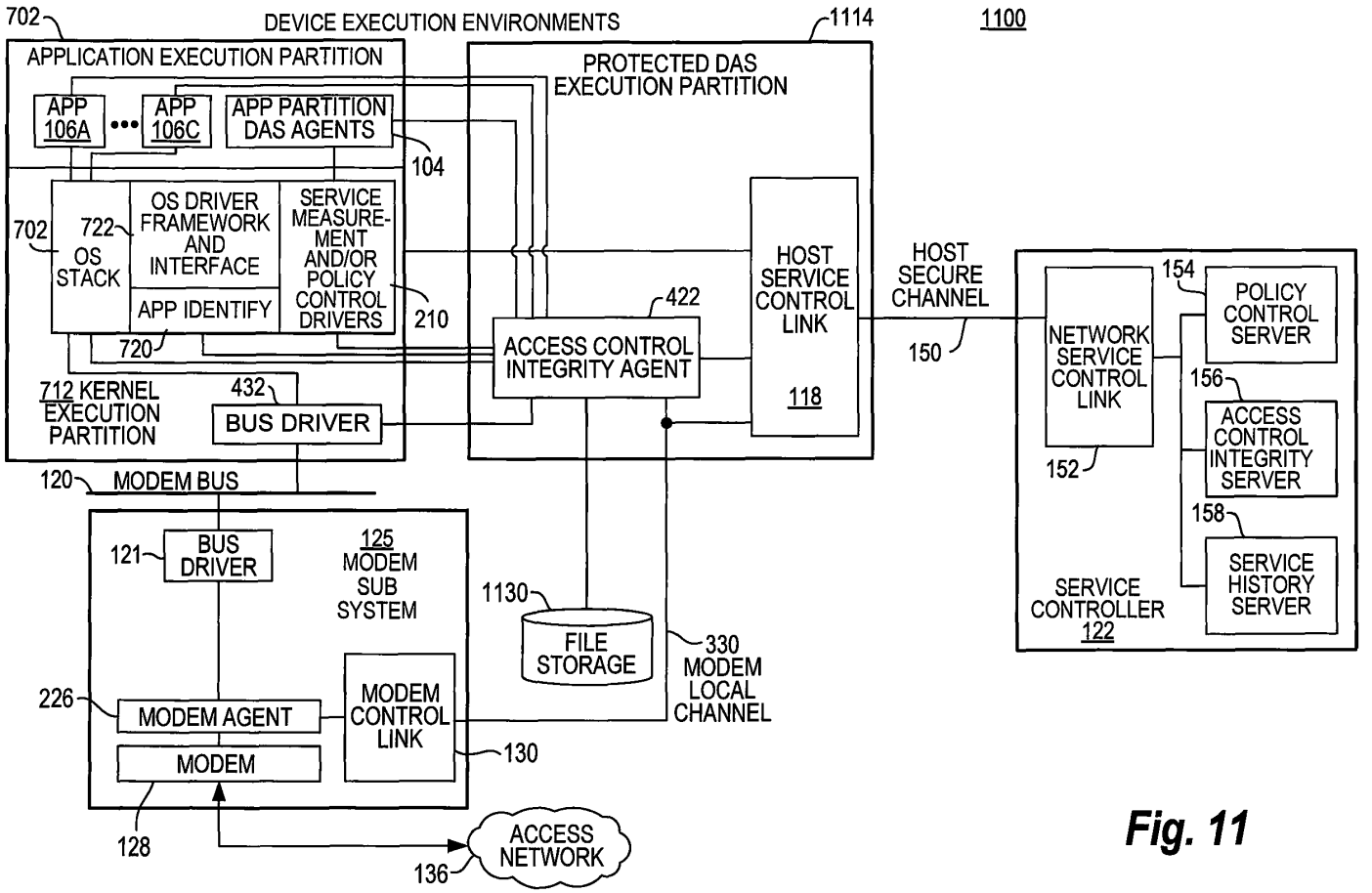

DEVICE EXECUTION ENVIRONMENTS
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APPLICATION EXECUTION PARTITION
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Fig. 11

PTO/AIA/01 (06-12)
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Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

As the below named inventor, I hereby declare that:

This declaration is directed to:

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

filed on _____.

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

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

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

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LEGAL NAME OF INVENTOR

Inventor: Gregory G. Raleigh Date (Optional) :_____

Signature: _____

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Electronic Patent Application Fee Transmittal

Application Number:	
Filing Date:	
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen/Ann Taylor
Attorney Docket Number:	RALEP025C1

Filed as Small Entity

Utility under 35 USC 111(a) Filing Fees

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Utility Search Fee	2111	1	310	310
Utility Examination Fee	2311	1	125	125
Pages:				
Claims:				
Miscellaneous-Filing:				
Publ. Fee- early, voluntary, or normal	1504	1	300	300
Petition:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				
Miscellaneous:				
		Total in USD ($)		**833**

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EFS ID:	14658719
Application Number:	13737748
International Application Number:	
Confirmation Number:	5456
Title of Invention:	Security Techniques For Device Assisted Services
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	106963
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025C1
Receipt Date:	09-JAN-2013
Filing Date:	
Time Stamp:	18:15:22
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Information:					
2	Application Data Sheet	P025C1ADS.pdf	1389185 a23d7998ae99c481ccbac585fe01e4dcb381fbe2	no	5
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3		P025C1App.pdf	243391 e7f4e377ca621f24e0da182979bd3699d5344a16	yes	36

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Document Description	Start	End
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Claims	32	35
Abstract	36	36

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