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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
11/075,493	03/08/2005	Han Kiliccote	023503-0359428

CONFIRMATION NO. 3866

POA ACCEPTANCE LETTER



23623
TUROC & WATSON, LLP
127 Public Square
57th Floor, Key Tower
CLEVELAND, OH 44114

Date Mailed: 08/22/2011

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 08/11/2011.

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.

/atesfai/

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



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
11/075,493	03/08/2005	Han Kiliccote	023503-0359428

27498
PILLSBURY WINTHROP SHAW PITTMAN LLP
P.O. BOX 10500
MCLEAN, VA 22102

CONFIRMATION NO. 3866
POWER OF ATTORNEY NOTICE



0000000049377884

Date Mailed: 08/22/2011

NOTICE REGARDING CHANGE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 08/11/2011.

- The Power of Attorney to you in this application has been revoked by the assignee who has intervened as provided by 37 CFR 3.71. Future correspondence will be mailed to the new address of record(37 CFR 1.33).

/atesfai/

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

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(b).

I hereby appoint:

☒ Practitioners associated with the Customer Number:

23623

OR

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

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the 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 assignment documents attached to this form in accordance with 37 CFR 3.73(b).

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

☒ The address associated with Customer Number:

23623

OR

☐ Firm or Individual Name

Turocy & Watson, LLP

Address

127 Public Square, 57th Floor, Key Tower

City

Cleveland

State Ohio

Zip 44114

Country

United States

Telephone

(216) 696-8730

Email

watson@thepatentattorneys.com

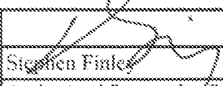
Assignee Name and Address:

Overtouch Remote L.L.C.
160 Greentree Drive, Suite 101
Dover, Delaware, 19904

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/86 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, 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	7-19-2011
Name	Stephen Finley	Telephone	
Title	Authorized Person for Overtouch Remote L.L.C.		

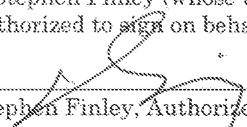
This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated 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.

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

DECLARATION REGARDING AUTHORITY TO SIGN ON BEHALF OF A LEGAL
ENTITY

37 C.F.R. 3.73(b)(2)(i)

I, Stephen Finley (whose title is supplied below), hereby declare that I am
authorized to sign on behalf of Overtouch Remote L.L.C.


Stephen Finley, Authorized Person for Overtouch Remote L.L.C.

7-19-2011
[date]

Electronic Acknowledgement Receipt	
EFS ID:	10717710
Application Number:	11075493
International Application Number:	
Confirmation Number:	3866
Title of Invention:	METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION
First Named Inventor/Applicant Name:	Han Kiliccote
Customer Number:	27498
Filer:	Thomas Edward Watson
Filer Authorized By:	
Attorney Docket Number:	023503-0359428
Receipt Date:	11-AUG-2011
Filing Date:	08-MAR-2005
Time Stamp:	15:57:55
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment		no			
File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Assignee showing of ownership per 37 CFR 3.73(b).	373B.pdf	504322 935d2c064c9ad57a8e749fc72b79ece7dc0ec3fd	no	2
Warnings:					
Information:					

2	Change of Address	feeaddressform.pdf	315316 0e67f55560ae34dbf0369b2396c9574b55a cbb80	no	2
Warnings:					
Information:					
3	Power of Attorney	VKILPOA.pdf	1046419 f01185da6c14a970286c513d0cef2b5cde10 2135	no	2
Warnings:					
Information:					
Total Files Size (in bytes):			1866057		
This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503. <u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application. <u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course. <u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.					

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Han Kiliccote

Application No./Patent No.: 7314167

Filed/Issue Date: 01/01/2008

Titled: **METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION**

OVERTOUCH REMOTE L.L.C.

, a Limited Liability Company

(Name of Assignee)

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

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)
the patent application/patent identified above, by virtue of either:

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 _____, Frame _____, or for which a copy therefore is attached.

OR

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

1. From: KILICCOTE, HAN

To: PISAFE, INC.

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

Reel 019107, Frame 0404, or for which a copy thereof is attached.

2. From: PISAFE, INC.

To: OVERTOUCH REMOTE L.L.C.

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

Reel 026723, Frame 0600, or for which a copy thereof is attached.

3. From: _____

To: _____

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

Reel _____, Frame _____, or for which a copy thereof is attached.

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

☐ As required by 37 CFR 3.73(b)(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.

/Thomas E. Watson/

2011-08-11

Signature

Date

Thomas E. Watson

Attorney - 43243

Printed or Typed Name

Title

This collection of information is required by 37 CFR 3.73(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.**

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

Privacy Act Statement

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

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

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

"FEE ADDRESS" INDICATION FORM

Address to:
Mail Stop M Correspondence
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Fax to:
571-273-6500

- OR -

INSTRUCTIONS: The issue fee must have been paid for application(s) listed on this form. In addition, only an address represented by a Customer Number can be established as the fee address for maintenance fee purposes (hereafter, fee address). A fee address should be established when correspondence related to maintenance fees should be mailed to a different address than the correspondence address for the application. **When to check the first box below:** If you have a Customer Number to represent the fee address. **When to check the second box below:** If you have no Customer Number representing the desired fee address, in which case a completed Request for Customer Number (PTO/SB/125) must be attached to this form. For more information on Customer Numbers, see the Manual of Patent Examining Procedure (MPEP) § 403.

For the following listed application(s), please recognize as the "Fee Address" under the provisions of 37 CFR 1.363 the address associated with:

☒ Customer Number: 23623

OR

☐ The attached Request for Customer Number (PTO/SB/125) form.

PATENT NUMBER (if known)	APPLICATION NUMBER
7314167	11075493

Completed by (check one):

☐ Applicant/Inventor	<u>/Thomas E. Watson/</u> Signature
☒ Attorney or Agent of record <u>43243</u> (Reg. No.)	<u>Thomas E. Watson</u> Typed or printed name
☐ Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)	<u>216-696-8730</u> Requester's telephone number
☐ Assignee recorded at Reel _____ Frame _____	<u>2011-08-11</u> Date

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ * Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.363. 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 5 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 COMPLETE D FORMS TO THIS ADDRESS.

SEND TO: Mail Stop M Correspondence, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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

Privacy Act Statement

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

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

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



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PILLSBURY WINTHROP SHAW PITTMAN LLP
P.O. BOX 10500
MCLEAN VA 22102

MAILED
JUL 13 2011
OFFICE OF PETITIONS

In re Patent No. 7,314,167 :
Issued: January 1, 2008 :
Application No. 11/075,493 :
Filed: March 8, 2005 :
Attorney Docket No. 023503-0359428 :

ON PETITION

This is a notice regarding your request for acceptance of a fee deficiency submission under 37 CFR 1.28 filed June 17, 2011.

On September 1, 1998, the Court of Appeals for the Federal Circuit held that 37 CFR 1.28(c) is the sole provision governing the time for correction of the erroneous payment of the issue fee as a small entity. See DH Technology v. Synergystex International, Inc. 154 F.3d 1333, 47 USPQ2d 1865 (Fed. Cir. Sept. 1, 1998).

The Office no longer investigates or rejects original or reissue applications under 37 CFR 1.56. **1098 Off. Gaz. Pat. Office 502 (January 3, 1989)**. Therefore, nothing in this Notice is intended to imply that an investigation was done.

Your fee deficiency submission under 37 CFR 1.28 is hereby **ACCEPTED**.

This patent is no longer entitled to small entity status. Accordingly, all future fees paid in this patent must be paid at the large entity rate.

Telephone inquiries concerning this decision should be directed to the undersigned at (571) 272-7751.

/Joan Olszewski/
Joan Olszewski
Petitions Examiner
Office of Petitions

Early Warning
IPR2024-01221
Ex. 1003-11

Attorney's Docket: 023503-0359428

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT of: HAN KILICCOTE

U.S. Patent No. 7,314,167
Issued January 1, 2008Application No.: 11/075,493
Filed: March 8, 2005Title: METHOD AND APPARATUS FOR PROVIDING SECURE
IDENTIFICATION VERIFICATION AND AUTHORIZATION

June 17, 2011

**NOTIFICATION OF PENDING LOSS OF SMALL ENTITY STATUS AND PAYMENT OF
POTENTIAL DEFICIENCY OWED DUE TO CHANGE IN STATUS**Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This paper is being submitted out of an abundance of caution and to avoid a potential determination of error in payment of maintenance fees as a small entity.

Pursuant to 37 C.F.R. § 1.27(g) the patent owner, through the undersigned, hereby give notice that they intend to assign ownership of the above described Patent under the terms of a pending contract that is expected to be fully executed within the next thirty days. The prospective assignee may not be entitled to claim small entity status and patent owner hereby withdraws patent owner's claim to small entity status.

Patent owner wishes to pay the difference between small entity status fees paid and large entity fees.

07/12/2011 CKHLDK 00000004 033975 7314167

01 FC:1509 490.00 DA

703109143v1

06/21/2011 MBANGURA 00000010 033975 7314167

01 FC:1599 490.00 DA

Adjustment Date: 07/12/2011 CKHLDK
07/12/2011 MBANGURA 00000010 033975 7314167
01 FC:1599 490.00 CR

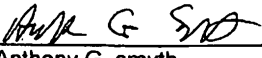
In accordance with 37 C.F.R. § 1.28(c) *et seq.*, we provide an itemization of the deficiency payment below:

Type of fee paid:	Maintenance Fees (3.5 years)
Small entity fee paid:	\$490.00
Date small entity fee was paid:	June 2, 2011
Deficiency owed:	Maintenance fee \$490
Total deficiency payment owed:	\$490.00

This deficiency payment reflects the difference between the 3½ Maintenance Fee for a small entity paid on June 2, 2011, and the current 3½ year Maintenance Fee payment for a non-small entity.

Please charge any fees associated with the filing of this document to Deposit Account Number 033975. The Commissioner for Patents is also authorized to credit any overpayments to the above-referenced Deposit Account.

Respectfully submitted,
PILLSBURY WINTHROP SHAW PITTMAN LLP

By: 
Anthony G. Smyth
Registration No. 55636
Customer No. 27498

703109143v1

PAGE 3/3 * RCVD AT 6/17/2011 3:02:21 PM [Eastern Daylight Time] * SVR:W-PTOFAX-002/32 * ONIS:2736500 * CSID:18584351629 * DURATION (mm-ss):01-22

Attorney's Docket: 023503-0359428

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT of: HAN KILICCOTE

U.S. Patent No. 7,314,167
Issued January 1, 2008

Application No.: 11/075,493
Filed: March 8, 2005

Title: METHOD AND APPARATUS FOR PROVIDING SECURE
IDENTIFICATION VERIFICATION AND AUTHORIZATION

June 17, 2011

**NOTIFICATION OF PENDING LOSS OF SMALL ENTITY STATUS AND PAYMENT OF
POTENTIAL DEFICIENCY OWED DUE TO CHANGE IN STATUS**

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

Sir:

This paper is being submitted out of an abundance of caution and to avoid a potential determination of error in payment of maintenance fees as a small entity.

Pursuant to 37 C.F.R. § 1.27(g) the patent owner, through the undersigned, hereby give notice that they intend to assign ownership of the above described Patent under the terms of a pending contract that is expected to be fully executed within the next thirty days. The prospective assignee may not be entitled to claim small entity status and patent owner hereby withdraws patent owner's claim to small entity status.

Patent owner wishes to pay the difference between small entity status fees paid and large entity fees.

06/21/2011 MBANGURA 00000010 033975 7314167
01 FC:1599 498.00 DA

703109143v1

PAGE 2/3 * RCVD AT 6/17/2011 3:02:21 PM [Eastern Daylight Time] * SVR:W-PTOFAX-002/32 * DNIS:2738500 * CSID:18584351629 * DURATION (mm-ss):01-22

Early Warning
IPR2024-01221
Ex. 1003-14

In accordance with 37 C.F.R. § 1.28(c) *et seq.*, we provide an itemization of the deficiency payment below:

Type of fee paid:	Maintenance Fees (3.5 years)
Small entity fee paid:	\$490.00
Date small entity fee was paid:	June 2, 2011
Deficiency owed:	Maintenance fee \$490
Total deficiency payment owed:	\$490.00

This deficiency payment reflects the difference between the 3½ Maintenance Fee for a small entity paid on June 2, 2011, and the current 3½ year Maintenance Fee payment for a non-small entity.

Please charge any fees associated with the filing of this document to Deposit Account Number 033975. The Commissioner for Patents is also authorized to credit any overpayments to the above-referenced Deposit Account.

Respectfully submitted,
PILLSBURY WINTHROP SHAW PITTMAN LLP

By: Anthony G. Smyth
Anthony G. Smyth
Registration No. 55636
Customer No. 27498

703109143v1

PAGE 3/3 * RCVD AT 6/17/2011 3:02:21 PM [Eastern Daylight Time] * SVR:W-PTOFAX-002/32 * DNIS:2736500 * CSID:18584351628 * DURATION (mm-ss):01-22



Pillsbury Winthrop Shaw Pittman LLP

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From: **Cynthia B. Stroesser** Phone No: **858.847.4151**
User No: **16688** C/M No: **023503-0359428**

Comments:

Re: **Maintenance Fee Due at 3.5 Years
for US Patent 7,314,167**
Issue Date: January 1, 2008
Inventor: Kiliccote
**Titled: METHOD AND APPARATUS FOR PROVIDING SECURE
IDENTIFICATION, VERIFICATION AND AUTHORIZATION**

Dear Sir,

Per Anthony Smyth, attached please find his correspondence in connection with the above-identified patent.

Previously faxed without signature.

Thank you for your assistance.

Best regards,

Cynthia Stroesser | Legal Secretary
Pillsbury Winthrop Shaw Pittman LLP

Tel: 858.847.4151 | Fax: 858.435.1629 |
12255 El Camino Real, Ste. 300 | San Diego, CA 92130

Email: cynthia.stroesser@pillsburylaw.com
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PAGE 1/3 * RCVD AT 6/17/2011 3:02:21 PM [Eastern Daylight Time] * SVR:W-PTOFAX-002/32 * DNIS:2736500 * CSID:18584351629 * DURATION (mm-ss):01-22

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APPLICATION NUMBER	PATENT NUMBER	GROUP ART UNIT	FILE WRAPPER LOCATION
11/075,493	7314167	2876	9200



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APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/075,493	01/01/2008	7314167	023503-0359428	3866

27498 7590 12/12/2007
PILLSBURY WINTHROP SHAW PITTMAN LLP
P.O. BOX 10500
MCLEAN, VA 22102

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 232 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>).

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

Han Kiliccote, Los Altos, CA;



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/075,493	03/08/2005	Han Kiliccote	023503-0359428	3866
27498	7590	11/21/2007		
PILLSBURY WINTHROP SHAW PITTMAN LLP			EXAMINER	
P.O. BOX 10500			LE, THIEN MINH	
MCLEAN, VA 22102				
			ART UNIT	PAPER NUMBER
			2876	
			MAIL DATE	DELIVERY MODE
			11/21/2007	PAPER

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

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

Response to Rule 312 Communication	Application No.	Applicant(s)	
	11/075,493	KILICCOTE, HAN	
	Examiner	Art Unit	
	Thien M. Le	2876	

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

1. ☒ The amendment filed on 06 September 2007 under 37 CFR 1.312 has been considered, and has been:

a) ☐ entered.

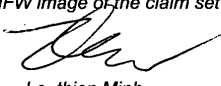
b) ☒ entered as directed to matters of form not affecting the scope of the invention.

c) ☐ disapproved because the amendment was filed after the payment of the issue fee.
Any amendment filed after the date the issue fee is paid must be accompanied by a petition under 37 CFR 1.313(c)(1) and the required fee to withdraw the application from issue.

d) ☐ disapproved. See explanation below.

e) ☐ entered in part. See explanation below.

The resubmission of the claim set filed on 6/1/2007 has been entered since the IFW image of the claim set was corrupted. The examiner thanks applicant's representative for assistance in this matter.


Le, thien Minh
Primary Examiner
Art Unit 2876
11/13/2007

08-20-07

03:30pm

From-PILLSBURY WINTHROP SHAW PITTMAN LLP

858 508 4010

T-068 P.002/010 F-688

Attorney Docket: 023503-0359428
Client Reference: PI-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION of: HAN
KILICCOTE
Application No.: 11/075,493

Confirmation Number: 3866

Group Art Unit: 2876

Filed: March 8, 2005

Examiner: T. Le

Title: METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION
VERIFICATION AND AUTHORIZATION

AMENDMENT and RESPONSE TO OFFICE ACTION

Mail Stop Non-Fee Amendments
Commissioner for Patents
P.O. Box 1450
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Sir:

This Amendment is timely filed in response to the Office Action mailed March 13, 2007.

Please charge any fees associated with the submission of this paper to Deposit Account Number 033975. The Commissioner for Patents is also authorized to credit any over payments to the above-referenced Deposit Account.

Please amend the above-identified application as follows:

*OK to
amend
11/13/2007*



Pillsbury
Winthrop
Shaw
Pittman...

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Date: August 20, 2007
To: Examiner T. Le
Company: USPTO Art Unit 2876
From: Anthony Smyth
Reg. No. 55636
User No: 15638
Must Be Sent By:
Fax No: 571-273-2396
Phone No: 571-272-2396
Phone No: 858.509.4007
C/M No: 023503-0359428

Comments:

Re: Application No. 11/075,493
Filing Date: March 8, 2005
First Named Inventor: Han Kilicote
Atty Dckt No. 023503-0359428
Confirmation No. 3866

Attachment(s):

Retransmission of Amendment filed June 1, 2007 as per instructions of Examiner T. Le.

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KILICCOTE - 11/075,493
Attorney Docket: 023503-0359428

IN THE CLAIMS:

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

1. (Currently amended) An apparatus for providing a secure transaction, the apparatus comprising:
 - an image capture device configured to capture an image, the image having information embedded therein including information relating to a transaction;
 - a memory configured to store predetermined information;
 - an input unit configured to receive input information provided by a user; a processor configured to:
 - verify the user based on the input information to ensure that the user is authorized to use the apparatus; and
 - generate an output based on the information embedded in the image and the predetermined information; and
 - an output unit configured to forward the output generated by the processor, wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.
2. (Original) The apparatus of claim 1 wherein the processor is further configured to generate the output using the input information.
3. (Original) The apparatus of claim 1 wherein the processor is further configured to decode the information embedded in the image for use in generating the output by using a decryption algorithm.
4. (Original) The apparatus of claim 1 wherein the input information includes one of a personal identification number and biometric information.
5. (Original) The apparatus of claim 1 wherein the output unit is a display.
6. (Original) The apparatus of claim 1 wherein the output is provided to a verifier, the verifier having access to the information embedded in the image.

KILICCOTE - 11/075,493
Attorney Docket: 023503-0359428

7. (Original) The apparatus of claim 1 wherein the image includes a barcode.
8. (Original) The apparatus of claim 7 wherein the barcode includes a multi-dimensional barcode.
9. (Original) The apparatus of claim 1 wherein the image includes a set of barcodes.
10. (Original) The apparatus of claim 9 wherein the set of barcodes includes a set of multi-dimensional barcodes.
11. (Currently amended) The apparatus of claim 1 ~~wherein the information embedded in the image includes information relating to a transaction; and wherein the output represents~~ includes an authentication code to be used to authenticate the user with respect to the transaction.
12. (Canceled)
13. (Currently amended) The apparatus of ~~claim 12~~ claim 1 wherein the transaction includes an online transaction.
14. (Currently amended) The apparatus of ~~claim 12~~ claim 1 wherein the predetermined information includes information relating to a payment card account; and wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.
15. (Canceled)
16. (Currently amended) ~~The apparatus of claim 1~~ An apparatus for providing a secure transaction, the apparatus comprising:
 - an image capture device configured to capture an image, the image having information embedded therein;
 - a memory configured to store predetermined information;
 - an input unit configured to receive input information provided by a user; a processor configured to:
 - verify the user based on the input information to ensure that the user is authorized to use the apparatus; and
 - generate an output based on the information embedded in the image and the predetermined information; and

KILICCOTE -- 11/075,493
Attorney Docket: 023503-0359428

an output unit configured to forward the output generated by the processor, wherein
the output unit includes control logic configured to forward the output using a message
delivery protocol.

17. (Original) The apparatus of claim 16 wherein the message delivery protocol includes the
Short Message Service.

18. (Original) The apparatus of claim 16 wherein the message delivery protocol includes
email.

19. (Original) The apparatus of claim 16 wherein the message delivery protocol includes the
Extended Message Service.

20. (Original) The apparatus of claim 1 wherein the information embedded in the image
includes information relating to a password to be used to unlock a secured document; and
wherein the output includes the password to be used to unlock the secured document.

21. (Original) The apparatus of claim 1 wherein the information embedded in the image
includes information relating to a challenge; and
wherein the output includes a password to be used to satisfy the challenge and unlock a
secured document.

22. (Original) The apparatus of claim 1 wherein the information embedded in the image
includes information provided by a vendor relating to a pending transaction; and
wherein the output includes some or all of the information provided by the vendor to be
used to alert the user with respect to the pending transaction.

23. (Currently amended) ~~A mobile device incorporating the apparatus as recited in The~~
apparatus of claim 1, wherein the apparatus is a cellphone.

24. (Currently amended) ~~A smartcard incorporating the apparatus as recited in The~~
apparatus of claim 1, wherein the apparatus includes a smartcard claim 1.

KILICCOTE -- 11/075,493
Attorney Docket: 023503-0359428

25. (Currently amended) A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein, the information embedded in the image including information relating to a transaction;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use the portable device;
generate an output based on the information embedded in the image and the predetermined information; and
forward the generated output to the user,
wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.
26. (Original) The method of claim 25 further comprising:
configuring the portable device to generate the output using the input information.
27. (Original) The method of claim 25 further comprising:
configuring the portable device to decode the information embedded in the image for use in generating the output by using a decryption algorithm.
28. (Original) The method of claim 25 wherein the input information includes one of a personal identification number and biometric information.
29. (Original) The method of claim 25 further comprising:
configuring the portable device to display the output.
30. (Original) The method of claim 25 wherein the output is provided to a verifier, the verifier having access to the information embedded in the image.
31. (Original) The method of claim 25 wherein the image includes a barcode.
32. (Original) The method of claim 31 wherein the barcode includes a multi-dimensional barcode.
33. (Original) The method of claim 25 wherein the image includes a set of barcodes.

KILICCOTE -- 11/075,493
Attorney Docket: 023503-0359428

34. (Original) The method of claim 33 wherein the set of barcodes includes a set of multi-dimensional barcodes.
35. (Currently amended) The method of claim 25 ~~wherein the information embedded in the image includes information relating to a transaction; and~~ wherein the output represents an authentication code to be used to authenticate the user with respect to the transaction.
36. (Canceled)
37. (Currently amended) The method of ~~claim 36~~ claim 25 wherein the transaction includes an online transaction.
38. (Currently amended) The method of ~~claim 36~~ claim 25 wherein the predetermined information includes information relating to a payment card account; and
wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.
39. (Canceled)
40. (Currently amended) ~~The method of claim 25 further comprising: A method of providing secure transaction, the method comprising:~~
configuring a portable device to:
capture an image, the image having information embedded therein;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use
the portable device;
generate an output based on the information embedded in the image and the
predetermined information; and
forward the generated output to the user configuring the portable device to forward the
output using a message delivery protocol.
41. (Original) The method of claim 40 wherein the message delivery protocol includes the Short Message Service.
42. (Original) The method of claim 40 wherein the message delivery protocol includes email.

KILICCOTE - 11/075,493
Attorney Docket: 023503-0359428

43. (Original) The method of claim 40 wherein the message delivery protocol includes the 5 Extended Message Service.
44. (Original) The method of claim 25 wherein the information embedded in the image includes information relating to a password to be used to unlock a secured document; and wherein the output includes the password to be used to unlock the secured document.
45. (Original) The method of claim 25 wherein the information embedded in the image includes information provided by a vendor relating to a pending transaction; and wherein the output includes some or all of the information provided by the vendor to be used to alert the user with respect to the pending transaction.
46. (Original) The method of claim 25 wherein the information embedded in the image includes information relating to a challenge; wherein the output includes a password to be used to satisfy the challenge and unlock a secured document.
47. (Currently amended) ~~The method of claim 25~~ A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use
the portable device;
generate an output based on the information embedded in the image and the
predetermined information; and
forward the generated output to the user, wherein
the portable device includes one of a cell phone, a personal digital assistant, and a smartcard.

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Sachiko Y. Snedden (Depositor's name)
September 28, 2007 (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/075,493	03/08/2005	Man Kilicote	023503-0359428	3866

TITLE OF INVENTION: METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$700	\$0	\$0	\$700	10/01/2007

EXAMINER	ART UNIT	CLASS-SUBCLASS	10/01/2007 MGE BREM2 00000119 033975	11075493
LE. THIEN MINH	2876	235-380000	01 FC:2501 02 FC:AAA1	700.00 DA 30.00 DA

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1 Pillsbury Winthrop
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(B) RESIDENCE: (CITY AND STATE OR COUNTRY)
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Authorized Signature Anthony G. Smyth
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Date September 28, 2007Registration No. 55,636

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Inventor: Han Kilicote
Appln. No.: 11/075,493
Filing Date: March 8, 2005
Title: METHOD AND APPARATUS FOR PROVIDING SECURE
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From: Anthony G. Smyth
User No: 15636
Comments:
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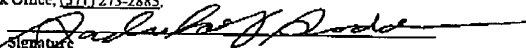
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SACHIKO Y. SNEDDEN

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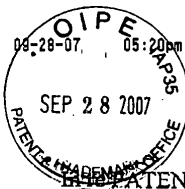
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Pat. App. Scr. No. 11/075,493

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT APPLICATION OF

Kiliccote

Confirmation No.: 3866

Serial No.: 11/075,493

Group Art Unit: 2876

Filed: March 8, 2005

Examiner: LE, Thien Minh

Title: METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION,
VERIFICATION AND AUTHORIZATION

TRANSMITTAL LETTER

Mail Stop Issue Fee
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Date: September 28, 2007

By:

Sachiko Y. Snodden
Sachiko Y. Snodden

Sir:

Transmitted herewith for filing are the following:

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2. Duplicate copy of this transmittal for Deposit Account accounting purposes;
3. Fax Cover Sheet.

Fees in the total amount of \$730.00 for issue fee (\$700, small entity) and advance order fee (10 copies of patent, \$30.00) are incurred for the above-identified application. The Commissioner is hereby authorized to charge any fee, that may be due in connection with this and the attached papers, or with this application during its entire pendency, or to credit any overpayment, to Deposit Account No. 033975, Order No. 023503-0359428. A duplicate of this Transmittal is enclosed.

Respectfully submitted,

Pillsbury Winthrop LLP

Date: September 28, 2007

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Date:	August 20, 2007	Must Be Sent By:	
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Company:	USPTO Art Unit 2876	Phone No:	571-272-2396
From:	Anthony Smyth Reg. No. 55636	Phone No:	858.509.4007
User No:	15638	C/M No:	023503-0359428

Comments:

Re: Application No. 11/075,493
Filing Date: March 8, 2005
First Named Inventor: Han Kilicotte
Atty Dckt No. 023503-0359428
Confirmation No. 3866

Attachment(s):

Retransmission of Amendment filed June 1, 2007 as per instructions of Examiner T. Le.

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PAGE 1/10 * RCVD AT 8/20/2007 6:31:09 PM [Eastern Daylight Time] * SVR:USPTO-EFXXRF-3/10 * DNIS:2732396 * CSID:8585094010 * DURATION (mm-ss):03-02

Early Warning
IPR2024-01221
Ex. 1003-32

Attorney Docket: 023503-0359428
Client Reference: PI-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION of: HAN
KILICCOTE
Application No.: 11/075,493

Confirmation Number: 3866

Group Art Unit: 2876

Filed: March 8, 2005

Examiner: T. Le

Title: METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION
VERIFICATION AND AUTHORIZATION

AMENDMENT and RESPONSE TO OFFICE ACTION

Mail Stop Non-Fee Amendments
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Amendment is timely filed in response to the Office Action mailed March 13, 2007.
Please charge any fees associated with the submission of this paper to Deposit Account Number
033975. The Commissioner for Patents is also authorized to credit any over payments to the
above-referenced Deposit Account.

Please amend the above-identified application as follows:

KILICCOTE - 11/075,493
Attorney Docket: 023503-0359428

IN THE CLAIMS:

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

1. (Currently amended) An apparatus for providing a secure transaction, the apparatus comprising:
 - an image capture device configured to capture an image, the image having information embedded therein including information relating to a transaction;
 - a memory configured to store predetermined information;
 - an input unit configured to receive input information provided by a user; a processor configured to:
 - verify the user based on the input information to ensure that the user is authorized to use the apparatus; and
 - generate an output based on the information embedded in the image and the predetermined information; and
 - an output unit configured to forward the output generated by the processor, wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.
2. (Original) The apparatus of claim 1 wherein the processor is further configured to generate the output using the input information.
3. (Original) The apparatus of claim 1 wherein the processor is further configured to decode the information embedded in the image for use in generating the output by using a decryption algorithm.
4. (Original) The apparatus of claim 1 wherein the input information includes one of a personal identification number and biometric information.
5. (Original) The apparatus of claim 1 wherein the output unit is a display.
6. (Original) The apparatus of claim 1 wherein the output is provided to a verifier, the verifier having access to the information embedded in the image.

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7. (Original) The apparatus of claim 1 wherein the image includes a barcode.
8. (Original) The apparatus of claim 7 wherein the barcode includes a multi-dimensional barcode.
9. (Original) The apparatus of claim 1 wherein the image includes a set of barcodes.
10. (Original) The apparatus of claim 9 wherein the set of barcodes includes a set of multi-dimensional barcodes.
11. (Currently amended) The apparatus of claim 1 ~~wherein the information embedded in the image includes information relating to a transaction; and wherein the output represents~~ includes an authentication code to be used to authenticate the user with respect to the transaction.
12. (Canceled)
13. (Currently amended) The apparatus of ~~claim 12~~ claim 1 wherein the transaction includes an online transaction.
14. (Currently amended) The apparatus of ~~claim 12~~ claim 1 wherein the predetermined information includes information relating to a payment card account; and
wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.
15. (Canceled)
16. (Currently amended) ~~The apparatus of claim 1~~ An apparatus for providing a secure transaction, the apparatus comprising:
an image capture device configured to capture an image, the image having information embedded therein;
a memory configured to store predetermined information;
an input unit configured to receive input information provided by a user; a processor configured to:
verify the user based on the input information to ensure that the user is authorized to use the apparatus; and
generate an output based on the information embedded in the image and the predetermined information; and

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an output unit configured to forward the output generated by the processor, wherein the output unit includes control logic configured to forward the output using a message delivery protocol.

17. (Original) The apparatus of claim 16 wherein the message delivery protocol includes the Short Message Service.

18. (Original) The apparatus of claim 16 wherein the message delivery protocol includes email.

19. (Original) The apparatus of claim 16 wherein the message delivery protocol includes the Extended Message Service.

20. (Original) The apparatus of claim 1 wherein the information embedded in the image includes information relating to a password to be used to unlock a secured document; and wherein the output includes the password to be used to unlock the secured document.

21. (Original) The apparatus of claim 1 wherein the information embedded in the image includes information relating to a challenge; and wherein the output includes a password to be used to satisfy the challenge and unlock a secured document.

22. (Original) The apparatus of claim 1 wherein the information embedded in the image includes information provided by a vendor relating to a pending transaction; and wherein the output includes some or all of the information provided by the vendor to be used to alert the user with respect to the pending transaction.

23. (Currently amended) ~~A mobile device incorporating the apparatus as recited in The apparatus of claim 1,~~ wherein the apparatus is a cellphone.

24. (Currently amended) ~~A smartcard incorporating the apparatus as recited in The apparatus of claim 1,~~ wherein the apparatus includes a smartcard claim 1.

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25. (Currently amended) A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein, the information embedded in the image including information relating to a transaction;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use the portable device;
generate an output based on the information embedded in the image and the predetermined information; and
forward the generated output to the user,
wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.
26. (Original) The method of claim 25 further comprising:
configuring the portable device to generate the output using the input information.
27. (Original) The method of claim 25 further comprising:
configuring the portable device to decode the information embedded in the image for use in generating the output by using a decryption algorithm.
28. (Original) The method of claim 25 wherein the input information includes one of a personal identification number and biometric information.
29. (Original) The method of claim 25 further comprising:
configuring the portable device to display the output.
30. (Original) The method of claim 25 wherein the output is provided to a verifier, the verifier having access to the information embedded in the image.
31. (Original) The method of claim 25 wherein the image includes a barcode.
32. (Original) The method of claim 31 wherein the barcode includes a multi-dimensional barcode.
33. (Original) The method of claim 25 wherein the image includes a set of barcodes.

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34. (Original) The method of claim 33 wherein the set of barcodes includes a set of multi-dimensional barcodes.
35. (Currently amended) The method of claim 25 ~~wherein the information embedded in the image includes information relating to a transaction; and~~ wherein the output represents an authentication code to be used to authenticate the user with respect to the transaction.
36. (Canceled)
37. (Currently amended) The method of ~~claim 36~~ claim 25 wherein the transaction includes an online transaction.
38. (Currently amended) The method of ~~claim 36~~ claim 25 wherein the predetermined information includes information relating to a payment card account; and
wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.
39. (Canceled)
40. (Currently amended) ~~The method of claim 25 further comprising:~~ A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use
the portable device;
generate an output based on the information embedded in the image and the
predetermined information; and
forward the generated output to the user configuring the portable device to forward the
output using a message delivery protocol.
41. (Original) The method of claim 40 wherein the message delivery protocol includes the Short Message Service.
42. (Original) The method of claim 40 wherein the message delivery protocol includes email.

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43. (Original) The method of claim 40 wherein the message delivery protocol includes the 5 Extended Message Service.
44. (Original) The method of claim 25 wherein the information embedded in the image includes information relating to a password to be used to unlock a secured document; and wherein the output includes the password to be used to unlock the secured document.
45. (Original) The method of claim 25 wherein the information embedded in the image includes information provided by a vendor relating to a pending transaction; and wherein the output includes some or all of the information provided by the vendor to be used to alert the user with respect to the pending transaction.
46. (Original) The method of claim 25 wherein the information embedded in the image includes information relating to a challenge; wherein the output includes a password to be used to satisfy the challenge and unlock a secured document.
47. (Currently amended) ~~The method of claim 25~~ A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use
the portable device;
generate an output based on the information embedded in the image and the
predetermined information; and
forward the generated output to the user, wherein
the portable device includes one of a cell phone, a personal digital assistant, and a smartcard.

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Attorney Docket: 023503-0359428

REMARKS

In the Office Action claims 23-24 under 35 U.S.C. 112 first paragraph as being single means claims. Claims 1-3, 5-11, 15, 20-22, 25-27, 29-35, 39 and 44-46 are rejected under 35 U.S.C. §102(e) as allegedly anticipated by U.S. Patent Application Publication No. 2004/0125402 by Kenai et al. ("Kenai") and claims 4 and 28 are rejected under 35 U.S.C. 103(a) as allegedly unpatentable over Kanai et al. in view of U.S. Patent Application Publication No. 2004/0233040 by Lane et al. ("Lane"). The Examiner indicates that claims 12-14, 16-19, 36-38, 40-43 and 47 contain allowable subject matter.

§112 Rejections

Applicant has amended claims 23 and 24 and respectfully submits that the amendments render the §112 rejections moot. These rejections should be withdrawn.

§102 and §103 Rejections

Applicant thanks the Examiner for acknowledging the allowable matter in claims 12-14, 16-19, 36-38, 40-43 and 47.

Applicant respectfully disagrees with the §102 and §103 rejections asserted in the Office Action. Nevertheless, and solely in the interest of expediting prosecution of the present Application, Applicant has amended the claims to include identified allowable subject matter in each of the remaining claims, thereby rendering the §102 and §103 rejections moot. Applicant intends to prosecute the rejected claims in a continuation application to obtain a patent that includes the broader subject matter recited in certain of those claims.

Claim 1 is amended to include all limitations of claim 12, thereby creating an allowable independent claim 1, since claim 12 was identified as including allowable subject matter. Claim 12 is canceled and claims 13 and 14 are amended to depend from claim 1. Claim 11 is amended to remove a redundant limitation. Consequently, claims 2-11, 13, 14 and 20-24 are now allowable for at least the reason that they each ultimately depend from allowable claim 1.

Claim 16 is amended to independent form as suggested by the Office Action and now includes all limitations of claim 1. Consequently, claim 16 is allowable claims 17-19 which depend from claim 16 are allowable for at least the reasons that claim 16 is allowable.

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Attorney Docket: 023503-0359428

Claim 25 is amended to include the limitations of claim 36, which latter claim was identified as including allowable subject matter. Consequently, claim 25 is now allowable. Claim 36 is canceled and claims 37 and 38 are amended to depend from claim 25. Claim 35 is amended to remove a redundant limitation. Consequently, claims 26-35, 37, 38 and 44-46 are also now allowable for at least the reason that they ultimately depend from allowable claim 25.

Claim 40 is amended to independent form as suggested by the Office Action and now includes all limitations of claim 25. Consequently, claim 40 is allowable and claims 41-43 are also allowable for at least the reason that they each depend from claim 40, which is allowable.

Claim 47 is amended to independent form as suggested by the Office Action and now includes all limitations of claim 25. Consequently, claim 47 is now allowable.

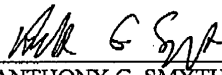
Other Amendments

Claims 15 and 39 are canceled without prejudice.

CONCLUSION

All objections and rejections having been addressed, and in view of the foregoing, the claims are believed to be in form for allowance, and such action is hereby solicited. If any points remain in issue which the Examiner feels may be best resolved through a personal or telephone interview, he or she is kindly requested to contact the undersigned at the telephone number listed below.

Respectfully submitted,
PILLSBURY WINTHROP SHAW PITTMAN LLP



ANTHONY G. SMYTH, Reg. No. 55636
Tel. No. 650-233-4802

Date: June 1, 2007
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27498 7590 06/29/2007
PILLSBURY WINTHROP SHAW PITTMAN LLP
P.O. BOX 10500
MCLEAN, VA 22102

EXAMINER	
LE, THIEN MINH	
ART UNIT	PAPER NUMBER
2876	

DATE MAILED: 06/29/2007

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/075,493	03/08/2005	Han Kilicote	023503-0359428	3866

TITLE OF INVENTION: METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$700	\$0	\$0	\$700	10/01/2007

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.

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27498 7590 06/29/2007
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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being 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.
11/075,493	03/08/2005	Han Kilicote	023503-0359428	3866

TITLE OF INVENTION: METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$700	\$0	\$0	\$700	10/01/2007

EXAMINER	ART UNIT	CLASS-SUBCLASS
LE, THIEN MINH	2876	235-380000

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- ☐ 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.

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- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 _____
2 _____
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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

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- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/075,493	03/08/2005	Han Kiliccote	023503-0359428	3866
27498	7590	06/29/2007	EXAMINER	
PILLSBURY WINTHROP SHAW PITTMAN LLP P.O. BOX 10500 MCLEAN, VA 22102			LE, THIEN MINH	
			ART UNIT	PAPER NUMBER
			2876	
DATE MAILED: 06/29/2007				

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

The Patent Term Adjustment to date is 309 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 309 day(s).

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 Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Notice of Allowability	Application No.	Applicant(s)	
	11/075,493	KILICCOTE, HAN	
	Examiner	Art Unit	
	Thien M. Le	2876	

-- 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 6/1/2007.

2. ☒ The allowed claim(s) is/are 1-11, 13-14, 16-35, 37-38, and 40-47.

3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some* c) ☐ None of 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.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
(a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
(b) ☐ 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. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date _____
4. ☐ Examiner's Comment Regarding Requirement for Deposit
of Biological Material

5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),
Paper No./Mail Date _____
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____

DETAILED ACTION

The amendment filed on 6/1/2007 has been entered. Claims 12, 15, 36 and 39 have been canceled. Claims 1-11, 13-14, 16-35, 37-38, and 40-47 remain for examination.

Allowable Subject Matter

Claims 1-11, 13-14, 16-35, 37-38, and 40-47 are allowed.

The following is a statement of reasons for the indication of allowable subject matter: Applicant's amendments to incorporate the limitations of the allowed claims as has been indicated in the previously Office Action, and the Response filed on 6/1/2007 are considered persuasive. Accordingly, the prior art fails to disclose an apparatus for providing a secure transaction comprising: (i) an image capture device; (ii) a memory unit; (iii) an input unit; (iv) the step of verifying the user; (v) the step of generating an output based on the information embedded in the image; (vi) an output unit; (vii) wherein the output include digital signature; and having the functions and characteristics as recited in claim 1.

The prior art also fails to disclose the limitations of claims 16, 25 and 40.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thien M. Le whose telephone number is (571) 272-

2396. The examiner can normally be reached on Monday - Friday from 7:30am - 4:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael G. Lee can be reached on (571) 272-2398. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

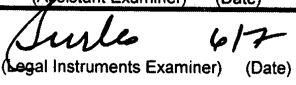
Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through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



Le, Thien Minh
Primary Examiner
Art Unit 2876
June 25, 2007

Issue Classification 	Application/Control No.		Applicant(s)/Patent under Reexamination	
	11/075,493		KILICCOTE, HAN	
	Examiner		Art Unit	
	Thien M. Le		2876	

ISSUE CLASSIFICATION										
ORIGINAL					CROSS REFERENCE(S)					
CLASS		SUBCLASS			CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)				
235		380			235	382				
INTERNATIONAL CLASSIFICATION										
G	0	6	K	5/00						
				/						
				/						
				/						
				/						

(Assistant Examiner) (Date)		 Le Thien Minh Primary Examiner 6/24/2007		Total Claims Allowed: 43	
 Legal Instruments Examiner (Date)				O.G. Print Claim(s)	O.G. Print Fig.
				1	1

☐ Claims renumbered in the same order as presented by applicant										☐ CPA		☐ T.D.		☐ R.1.47	
Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
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2	2	30	32	62	92	122	152	182							
3	3	31	33	63	93	123	153	183							
4	4	32	34	64	94	124	154	184							
5	5	33	35	65	95	125	155	185							
6	6		36	66	96	126	156	186							
7	7	34	37	67	97	127	157	187							
8	8	35	38	68	98	128	158	188							
9	9		39	69	99	129	159	189							
10	10	39	40	70	100	130	160	190							
11	11	40	41	71	101	131	161	191							
	12	41	42	72	102	132	162	192							
12	13	42	43	73	103	133	163	193							
13	14	36	44	74	104	134	164	194							
	15	37	45	75	105	135	165	195							
19	16	38	46	76	106	136	166	196							
20	17	43	47	77	107	137	167	197							
21	18		48	78	108	138	168	198							
22	19		49	79	109	139	169	199							
14	20		50	80	110	140	170	200							
15	21		51	81	111	141	171	201							
16	22		52	82	112	142	172	202							
17	23		53	83	113	143	173	203							
18	24		54	84	114	144	174	204							
23	25		55	85	115	145	175	205							
24	26		56	86	116	146	176	206							
25	27		57	87	117	147	177	207							
26	28		58	88	118	148	178	208							
27	29		59	89	119	149	179	209							
28	30		60	90	120	150	180	210							

U.S. Patent and Trademark Office

Part of Paper No. 20070625



UNITED STATES PATENT AND TRADEMARK OFFICE

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 Alexandria, Virginia 22313-1450
 www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 3866

SERIAL NUMBER 11/075,493	FILING OR 371(c) DATE 03/08/2005 RULE	CLASS 235	GROUP ART UNIT 2876	ATTORNEY DOCKET NO. 073187-0012
APPLICANTS Han Kiliccote, Los Altos, CA;				
** CONTINUING DATA ***** <i>km</i>				
** FOREIGN APPLICATIONS ***** <i>km</i>				
IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 04/11/2005				
** SMALL ENTITY **				
Foreign Priority claimed ☐ yes ☒ no		STATE OR COUNTRY CA		
35 USC 119 (a-d) conditions met ☐ yes ☒ no ☐ Met after Allowance		SHEETS DRAWING 13		
Verified and Acknowledged <i>[Signature]</i> Examiner's Signature Initials		TOTAL CLAIMS 47		
		INDEPENDENT CLAIMS 2		
ADDRESS 31824				
TITLE Method and apparatus for providing secure identification, verification and authorization				
FILING FEE RECEIVED 1175	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		☐ All Fees ☐ 1.16 Fees (Filing) ☐ 1.17 Fees (Processing Ext. of time) ☐ 1.18 Fees (Issue) ☐ Other _____ ☐ Credit	

http://neo:8000/PrexServlet/PrexAction

2/26/2007

Search Notes 		Application/Control No. 11/075,493		Applicant(s)/Patent under Reexamination KILICCOTE, HAN	
		Examiner Thien M. Le		Art Unit 2876	

SEARCHED			
Class	Subclass	Date	Examiner
235	380	↓	↓
	375		
	379		
	382		
	382.5		
705	39		
↓	76		
340	10.52		
↓	10.3		
↓	5.8		
358	1.15	↓	↓
	1.1		
updated	↓	6/24/2007	LTM

INTERFERENCE SEARCHED			
Class	Subclass	Date	Examiner
235	380	↓	↓
↓	382	6/24/2007	LTM

SEARCH NOTES (INCLUDING SEARCH STRATEGY)		
	DATE	EXMR
EAST	2/27/2007	LTM
updated	6/24/2007	LTM

Index of Claims 	Application/Control No.	Applicant(s)/Patent under Reexamination	
	11/075,493	KILICCOTE, HAN	
	Examiner	Art Unit	
	Thien M. Le	2876	

✓	Rejected	—	(Through numeral) Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

Claim		Date									
Final	Original	6/24/07									
1	1	=									
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Attorney Docket: 023503-0359428
Client Reference: PI-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION of: HAN
KILICCOTE
Application No.: 11/075,493

Confirmation Number: 3866

Group Art Unit: 2876

Filed: March 8, 2005

Examiner: T. Le

Title: METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION
VERIFICATION AND AUTHORIZATION

AMENDMENT and RESPONSE TO OFFICE ACTION

Mail Stop Non-Fee Amendments
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Amendment is timely filed in response to the Office Action mailed March 13, 2007.
Please charge any fees associated with the submission of this paper to Deposit Account Number
033975. The Commissioner for Patents is also authorized to credit any over payments to the
above-referenced Deposit Account.

Please amend the above-identified application as follows:

700682347v1

Early Warning
IPR2024-01221
Ex. 1003-52

IN THE CLAIMS:

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

1. **(Currently amended)** An apparatus for providing a secure transaction, the apparatus comprising:

an image capture device configured to capture an image, the image having information embedded therein including information relating to a transaction;

a memory configured to store predetermined information;

an input unit configured to receive input information provided by a user; a processor configured to:

verify the user based on the input information to ensure that the user is authorized to use the apparatus; and

generate an output based on the information embedded in the image and the predetermined information; and

an output unit configured to forward the output generated by the processor, wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.

2. (Original) The apparatus of claim 1 wherein the processor is further configured to generate the output using the input information.

3. (Original) The apparatus of claim 1 wherein the processor is further configured to decode the information embedded in the image for use in generating the output by using a decryption

4. (Original) The apparatus of claim 1 wherein the input information includes one of a personal identification number and biometric information.

5. (Original) The apparatus of claim 1 wherein the output unit is a display.

6. (Original) The apparatus of claim 1 wherein the output is provided to a verifier, the verifier having access to the information embedded in the image.

7. (Original) The apparatus of claim 1 wherein the image includes a barcode.
8. (Original) The apparatus of claim 7 wherein the barcode includes a multi-dimensional barcode.
9. (Original) The apparatus of claim 1 wherein the image includes a set of barcodes.
10. (Original) The apparatus of claim 9 wherein the set of barcodes includes a set of multi-dimensional barcodes.
11. **(Currently amended)** The apparatus of claim 1 ~~wherein the information embedded in the image includes information relating to a transaction; and wherein the output represents~~ includes an authentication code to be used to authenticate the user with respect to the transaction.
12. **(Canceled)**
13. **(Currently amended)** The apparatus of ~~claim 12~~ claim 1 wherein the transaction includes an online transaction.
14. **(Currently amended)** The apparatus of ~~claim 12~~ claim 1 wherein the predetermined information includes information relating to a payment card account; and
wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.
15. **(Canceled)**
16. **(Currently amended)** ~~The apparatus of claim 1~~ An apparatus for providing a secure transaction, the apparatus comprising:
an image capture device configured to capture an image, the image having information embedded therein;
~~a memory configured to store predetermined information;~~
an input unit configured to receive input information provided by a user; a processor configured to:
verify the user based on the input information to ensure that the user is authorized to use the apparatus; and
generate an output based on the information embedded in the image and the predetermined information; and

an output unit configured to forward the output generated by the processor, wherein
the output unit includes control logic configured to forward the output using a message
delivery protocol.

17. (Original) The apparatus of claim 16 wherein the message delivery protocol includes the
Short Message Service.

18. (Original) The apparatus of claim 16 wherein the message delivery protocol includes
email.

19. (Original) The apparatus of claim 16 wherein the message delivery protocol includes the
Extended Message Service.

20. (Original) The apparatus of claim 1 wherein the information embedded in the image
includes information relating to a password to be used to unlock a secured document; and
wherein the output includes the password to be used to unlock the secured document.

21. (Original) The apparatus of claim 1 wherein the information embedded in the image
includes information relating to a challenge; and
wherein the output includes a password to be used to satisfy the challenge and unlock a
secured document.

22. (Original) The apparatus of claim 1 wherein the information embedded in the image
includes information provided by a vendor relating to a pending transaction; and
wherein the output includes some or all of the information provided by the vendor to be
used to alert the user with respect to the pending transaction.

23. **(Currently amended)** ~~A mobile device incorporating the apparatus as recited in The~~
~~apparatus of claim 1, wherein the apparatus is a cellphone.~~

24. **(Currently amended)** ~~A smartcard incorporating the apparatus as recited in The~~
~~apparatus of claim 1, wherein the apparatus includes a smartcard claim 1.~~

25. **(Currently amended)** A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein, the information embedded in the image including information relating to a transaction;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use the portable device;
generate an output based on the information embedded in the image and the predetermined information; and
forward the generated output to the user,
wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.
26. (Original) The method of claim 25 further comprising:
configuring the portable device to generate the output using the input information.
27. (Original) The method of claim 25 further comprising:
configuring the portable device to decode the information embedded in the image for use in generating the output by using a decryption algorithm.
28. (Original) The method of claim 25 wherein the input information includes one of a personal identification number and biometric information.
29. (Original) The method of claim 25 further comprising:
configuring the portable device to display the output.
- ~~30. (Original) The method of claim 25 wherein the output is provided to a verifier, the verifier having access to the information embedded in the image.~~
31. (Original) The method of claim 25 wherein the image includes a barcode.
32. (Original) The method of claim 31 wherein the barcode includes a multi-dimensional barcode.
33. (Original) The method of claim 25 wherein the image includes a set of barcodes.

34. (Original) The method of claim 33 wherein the set of barcodes includes a set of multi-dimensional barcodes.

35. **(Currently amended)** The method of claim 25 ~~wherein the information embedded in the image includes information relating to a transaction;~~ and wherein the output represents an authentication code to be used to authenticate the user with respect to the transaction.

36. **(Canceled)**

37. **(Currently amended)** The method of ~~claim 36~~ claim 25 wherein the transaction includes an online transaction.

38. **(Currently amended)** The method of ~~claim 36~~ claim 25 wherein the predetermined information includes information relating to a payment card account; and
wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.

39. **(Canceled)**

40. **(Currently amended)** ~~The method of claim 25 further comprising:~~ A method of providing secure transaction, the method comprising:

configuring a portable device to:

capture an image, the image having information embedded therein;

store predetermined information;

receive input information provided by a user;

verify the user based on the input information to ensure that the user is authorized to use

the portable device;

generate an output based on the information embedded in the image and the

~~predetermined information; and~~

forward the generated output to the user ~~configuring the portable device to forward the~~
~~output~~ using a message delivery protocol.

41. (Original) The method of claim 40 wherein the message delivery protocol includes the Short Message Service.

42. (Original) The method of claim 40 wherein the message delivery protocol includes email.

43. (Original) The method of claim 40 wherein the message delivery protocol includes the 5 Extended Message Service.

44. (Original) The method of claim 25 wherein the information embedded in the image includes information relating to a password to be used to unlock a secured document;
and wherein the output includes the password to be used to unlock the secured document.

45. (Original) The method of claim 25 wherein the information embedded in the image includes information provided by a vendor relating to a pending transaction; and
wherein the output includes some or all of the information provided by the vendor to be used to alert the user with respect to the pending transaction.

46. (Original) The method of claim 25 wherein the information embedded in the image includes information relating to a challenge;
wherein the output includes a password to be used to satisfy the challenge and unlock a secured document.

47. **(Currently amended)** ~~The method of claim 25~~ A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein;
store predetermined information;
receive input information provided by a user;
verify the user based on the input information to ensure that the user is authorized to use
the portable device;
generate an output based on the information embedded in the image and the
predetermined information; and
forward the generated output to the user, wherein
the portable device includes one of a cell phone, a personal digital assistant, and a smartcard.

REMARKS

In the Office Action claims 23-24 under 35 U.S.C. 112 first paragraph as being single means claims. Claims 1-3, 5-11, 15, 20-22, 25-27, 29-35, 39 and 44-46 are rejected under 35 U.S.C. §102(e) as allegedly anticipated by U.S. Patent Application Publication No. 2004/0125402 by Kenai et al. (“Kenai”) and claims 4 and 28 are rejected under 35 U.S.C. 103(a) as allegedly unpatentable over Kanai et al. in view of U.S. Patent Application Publication No. 2004/0233040 by Lane et al. (“Lane”). The Examiner indicates that claims 12-14, 16-19, 36-38, 40-43 and 47 contain allowable subject matter.

§112 Rejections

Applicant has amended claims 23 and 24 and respectfully submits that the amendments render the §112 rejections moot. These rejections should be withdrawn.

§102 and §103 Rejections

Applicant thanks the Examiner for acknowledging the allowable matter in claims 12-14, 16-19, 36-38, 40-43 and 47.

Applicant respectfully disagrees with the §102 and §103 rejections asserted in the Office Action. Nevertheless, and solely in the interest of expediting prosecution of the present Application, Applicant has amended the claims to include identified allowable subject matter in each of the remaining claims, thereby rendering the §102 and §103 rejections moot. Applicant intends to prosecute the rejected claims in a continuation application to obtain a patent that includes the broader subject matter recited in certain of those claims.

Claim 1 is amended to include all limitations of claim 12, thereby creating an allowable independent claim 1, since claim 12 was identified as including allowable subject matter. Claim 1 is canceled and claims 13 and 14 are amended to depend from claim 1. Claim 11 is amended to remove a redundant limitation. Consequently, claims 2-11, 13, 14 and 20-24 are now allowable for at least the reason that they each ultimately depend from allowable claim 1.

Claim 16 is amended to independent form as suggested by the Office Action and now includes all limitations of claim 1. Consequently, claim 16 is allowable claims 17-19 which depend from claim 16 are allowable for at least the reasons that claim 16 is allowable.

Claim 25 is amended to include the limitations of claim 36, which latter claim was identified as including allowable subject matter. Consequently, claim 25 is now allowable. Claim 36 is canceled and claims 37 and 38 are amended to depend from claim 25. Claim 35 is amended to remove a redundant limitation. Consequently, claims 26-35, 37, 38 and 44-46 are also now allowable for at least the reason that they ultimately depend from allowable claim 25.

Claim 40 is amended to independent form as suggested by the Office Action and now includes all limitations of claim 25. Consequently, claim 40 is allowable and claims 41-43 are also allowable for at least the reason that they each depend from claim 40, which is allowable.

Claim 47 is amended to independent form as suggested by the Office Action and now includes all limitations of claim 25. Consequently, claim 47 is now allowable.

Other Amendments

Claims 15 and 39 are canceled without prejudice.

CONCLUSION

All objections and rejections having been addressed, and in view of the foregoing, the claims are believed to be in form for allowance, and such action is hereby solicited. If any points remain in issue which the Examiner feels may be best resolved through a personal or telephone interview, he or she is kindly requested to contact the undersigned at the telephone number listed below.

Respectfully submitted,
PILLSBURY WINTHROP SHAW PITTMAN LLP



Tel. No. 650-233-4802

Date: June 1, 2007
2475 Hanover Street
Palo Alto, CA 94304-1114
(650) 233-4500

Electronic Acknowledgement Receipt	
EFS ID:	1833060
Application Number:	11075493
International Application Number:	
Confirmation Number:	3866
Title of Invention:	Method and apparatus for providing secure identification, verification and authorization
First Named Inventor/Applicant Name:	Han Kiliccote
Customer Number:	27498
Filer:	Anthony G. Smyth/Sachiko Snedden
Filer Authorized By:	Anthony G. Smyth
Attorney Docket Number:	023503-0359428
Receipt Date:	01-JUN-2007
Filing Date:	08-MAR-2005
Time Stamp:	19:43:39
Application Type:	Utility

Payment information:

Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1	Amendment - After Non-Final Rejection	AMD.pdf	610399	no	9

Warnings:

Information:	
Total Files Size (in bytes):	610399
This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503. <u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application. <u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course. <u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.	

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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875					Application or Docket Number 11/075,493		Filing Date 03/08/2005		☐ To be Mailed	
APPLICATION AS FILED – PART I										
(Column 1)			(Column 2)		SMALL ENTITY ☒ OR			OTHER THAN SMALL ENTITY		
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR	RATE (\$)	FEE (\$)			
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A				
☐ SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A			N/A				
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A				
TOTAL CLAIMS (37 CFR 1.16(j))	minus 20 =	*	X \$ =		OR	X \$ =				
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X \$ =			X \$ =				
☐ APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).									
☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))										
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL			TOTAL				
APPLICATION AS AMENDED – PART II										
(Column 1)			(Column 2)		(Column 3)			SMALL ENTITY OR OTHER THAN SMALL ENTITY		
AMENDMENT	06/01/2007	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)	
	Total (37 CFR 1.16(i))	* 43	Minus	** 47	= 0	X \$25 =	0	OR	X \$ =	
	Independent (37 CFR 1.16(h))	* 5	Minus	*** 3	= 2	X \$100 =	200	OR	X \$ =	
	☐ Application Size Fee (37 CFR 1.16(s))						OR			
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						OR			
					TOTAL ADD'L FEE	200	OR	TOTAL ADD'L FEE		
AMENDMENT	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)		
	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))						OR			
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						OR			
					TOTAL ADD'L FEE		TOTAL ADD'L FEE			
* If the entry in column 1 is less than the entry in column 2, write "0" in column 3. ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.										

Legal Instrument Examiner:
Jacquelyn L. Williams

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
11/075,493	03/08/2005	Han Kiliccote	023503-0359428

27498
PILLSBURY WINTHROP SHAW PITTMAN LLP
P.O. BOX 10500
MCLEAN, VA 22102

CONFIRMATION NO. 3866



OC00000023459932

Date Mailed: 04/19/2007

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 03/26/2007.

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.

Office of Initial Patent Examination (571) 272-4000, or 1-800-PTO-9199
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**POWER OF ATTORNEY
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INDICATION FORM**

Application Number	11/075,493
Filing Date	March 8, 2005
First Named Inventor	Han Kilicote
Title	See Addendum 1
Art Unit	2876
Examiner Name	T. Le
Attorney Docket Number	023503-0359428

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒ Practitioners associated with the Customer Number:

27498

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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Telephone

Email

I am the:

☐

Applicant/Inventor.

☐Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	March 26, 2007
Name	Han Kilicote	Telephone	408-930-7922
Title and Company	CEO, PISole Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**POWER OF ATTORNEY
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INDICATION FORM**

Application Number	11/075,493
Filing Date	March 8, 2006
First Named Inventor	Han Kilicote
Title	See Addendum 1
Art Unit	2876
Examiner Name	T. Le
Attorney Docket Number	023503-0359428

I hereby revoke all previous powers of attorney given in the above-identified application.

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I am the:

☐ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/98)

SIGNATURE of Applicant or Assignee of Record

Signature

Date

March 26, 2007

Name

Han Kilicote

Telephone

408-930-7922

Title and Company

CEO, Pisate Inc.

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

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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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PAGE 1/1 * RCVD AT 3/26/2007 8:10:11 PM [Eastern Daylight Time] * SVR:USPTO-EFEXRF-1/17 * DNIS:2738300 * CSID:6502334747 * DURATION (mm:ss):00:40

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/075,493	03/08/2005	Han Kiliccote	073187-0012	3866
31824 7590 03/13/2007 MCDERMOTT WILL & EMERY LLP 18191 VON KARMAN AVE. SUITE 500 IRVINE, CA 92612-7108			EXAMINER LE, THIEN MINH	
			ART UNIT	PAPER NUMBER
			2876	

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	03/13/2007	PAPER

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

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No. 11/075,493	Applicant(s) KILICCOTE, HAN	
	Examiner Thien M. Le	Art Unit 2876	

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

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, 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 ____.

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

3) ☐ 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

4) ☒ Claim(s) 1-47 is/are pending in the application.

4a) Of the above claim(s) ____ is/are withdrawn from consideration.

5) ☐ Claim(s) ____ is/are allowed.

6) ☐ Claim(s) ____ is/are rejected.

7) ☐ Claim(s) ____ is/are objected to.

8) ☐ Claim(s) ____ are subject to restriction and/or election requirement.

Application Papers

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

10) ☐ 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).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

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

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

Attachment(s)

1) ☒ Notice of References Cited (PTO-892) 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) ☐ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date ____	4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. ____ 5) ☐ Notice of Informal Patent Application 6) ☐ Other: ____
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DETAILED ACTION

Claims 1-47 are presented for examination.

Claim Rejections - 35 USC § 112

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

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

Claims 23-24 are rejected under 35 U.S.C. 112, first paragraph, because they both are "single means claims" (2164.08(a) "Single Means Claim - A single means claim, i.e., where a means recitation does not appear in combination with another recited element of means, is subject to an undue breadth rejection under 35 U.S.C. 112, first paragraph."

For the purposes of this Office Action, no grounds of rejection based on the prior art of record are applied to the claims.

Claim Rejections - 35 USC § 102

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

Claims 1-3, 5-11, 15, 20-22, 25-27, 29-35, 39, 44-46 are rejected under 35 U.S.C. 102(e) as being anticipated by Kanal et al. (Kanal et al. – 2004/0125402; herein after referred to as Kanal).

Regarding claims 1-2, 5-11, 15, 20-22, 25-26, 31-35, 39, and 44-46, Kanal discloses an apparatus for providing a secure transaction (in this case printing transaction) comprising:

(i) an image capture device configured to capture an image, the image having information embedded therein;

* [0271] As described above, a barcode is printed on each page of the printout of the document. Thus, only a copier, a facsimile, or a scanner that can identify this barcode can obtain the document ID by decoding the barcode, and can determine based on the document ID by accessing the access control server 204 whether or not a hardcopy, an image reader, a facsimile transmission, or a like is allowed. Therefore, it is possible to maintain a consistent security including a paper document. (also see the full descriptions of the related figures)

(ii) a memory configured to store predetermined information

** see (i) where Kanal discloses the method of decoding the barcode which inherently reciting a memory comprising predetermined matching patterns

(iii) an input unit configured to receive input information provided by a user;

(iv) a processor configured to verify the user based on the input information to ensure that the user is authorized to use the apparatus; and generate and output based on the embedded information of the barcode and the predetermined information

*** Before each transaction of printing or copying a secured document, Kanal discussed the method of authorize the user using login ID and password as evident by the following sections of Kanal

[0266] As described above, after the printing process is executed, the printout of the document can not be output from the printer 203 until a PIN identical to the PIN input by the user prior to the printing process is input by the user at the operation panel of the printer 203. Accordingly, the printout of the document is not carelessly left at the printer 203. Thus, it is possible to prevent the document from being leaked by the printout. Furthermore, a communication with the printer 203 should be secured by the SSL so that the print data transmitting through the network can not be intercepted.

[0266] Alternatively, the document printing program 221 may be associated with a user management of Windows.RTM. Domain, so that the user is not required to input the PIN. For example, the PIN is not input by the user but the user ID being currently logged on is obtained from Windows.RTM. Domain, and the user ID is sent to the printer 203 with the print data. The printer 203 receives the password input by the user at the operation panel, conducts the user authentication with the user ID and the password by using a user authentication organization of Window.RTM. Domain. When the user authentication is succeeded, the printer 203 prints out the document. However, it is not limited to Window.RTM. Domain. By associating with the user management installed beforehand, it is possible to eliminate an input of the PIN which is a problem for the user.

[0267] Next, operations of the document printing program 221 will be described in a case in that the EBC is set as the print requirement.

[0268] (1) The document printing program 221 generates data for a barcode image data (or a two dimensional code) showing the document ID when the document where the EBC is set is printed out.

[0269] (2) The document printing program 221 sets a generated barcode image data to the printer driver 221g as a stamp image, and indicates the printer 203 to print out the document.

[0270] (3) When the EBC can not be set to the printer driver 221g, that is, when the printer 203 does not support a stamp function, the user is informed to select another printer supporting the stamp function and the process is terminated without the printing process.

*** it is noted that the step of generate the output is when the authorized printer/copier can decode the EBC barcode image

(v) an output unit

Kanal discloses the use of a printer/copier for authorizing the user and authorizing the coping or printing transaction of a secure document and thus the printing part of the printer is considered as the claimed output unit.

Regarding claims 3, 27, see the discussions regarding claim 1. Further, Kanal discloses the method of using various encryption and/or decryption algorithms for encoding and decoding the secure document.

[0184] The document protecting program 211 is a program to set a print requirement to a document file (hereinafter, simply called a document) in response to an input operation by a distributor using the distributor terminal 201, encrypt the document using an encryption algorithm (for example, an RC4, Triple DES, IDEA), and generate a secured document 13. FIG. 12 is a diagram showing a configuration example of the document protecting program according to the first embodiment of the present invention. In FIG. 12, the document protecting program 211 includes an encrypting part 211a, an encryption key obtaining part 211b, an attribute providing part 211c, and an attribute registering part 211d. Each function will be described later.

[0189] FIG. 16 is a diagram showing a structure example of the ACL according to the second embodiment of the present invention. In FIG. 16, the ACL includes parameters of "User name" as a user name, "Access type" as an access type, "Permission" as permission information, and "Requirement" as the process requirement. And as shown in FIG. 17, the ACL is recorded and maintained as one record by associating with "Document ID" as a document ID and "Key" as the encryption key in the ACL database 242.

[0194] When the document protecting program 211 obtains the ACL, the document protecting program 211 generates the document ID (Document ID) identical for each document and the encryption key (Key) used to encrypt and decrypt the document, associates the document ID and Key with the ACL, and sends to the access control server 204 to register to the ACL database 242.

Regarding claims 6, 30, see the discussions of claim 1 wherein the output is provided to a verifier of the printer for verifying the EBC barcode.

Claim Rejections - 35 USC § 103

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

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

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

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

Claims 4, 28 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kanal et al. (Kanal et al. – 2004/0125402; herein after referred to as Kanal) in view of Lane et al. (Lane et al. – 2004/0233040; herein after referred to as Lane).

Regarding claim 4, 28, see the discussions regarding claim 1. Though disclosing the method and means for inputting personal identification (i.e. PIN – par. 0260; par. 0564), Kanal fails to specifically disclose the means and method for inputting a PIN number and biometric information.

However, this claimed limitation is not new. Reference to Lane is cited as an evidence showing the conventionality of the use of a PIN number that can be derived or be used combination with user biometric data (Lane – par. 0118).

It would have been obvious to incorporate the use of biometric data in additional to the use of a PIN number. The modification enhances the security aspects of the secure document by adding another feature for verification purposes.

Allowable Subject Matter

Claims 12-14, 16-19, 36-38, 40-43, and 47 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

The following is a statement of reasons for the indication of allowable subject matter: The prior art discloses an apparatus for providing secure transaction comprising an image capture device, a memory, an input unit, a processor, an output unit and having the functions and characteristics as recited in claim 1. However, the prior art fails to disclose the system comprising the limitations of claim 1 further incorporated in unique enclosures or working environments such as: (i) digital signature, on-line transaction, payment card account in the manners recited in claims 12-14, 36-38; (ii) the specific message delivery protocol (i.e. short message service, email, extended

message service) in the manners as recited in claims 16-19, and 40-43; (iii) the incorporations of such methods in cellular phone, PDA, and a smart card as recited in claim 47.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thien M. Le whose telephone number is (571) 272-2396. The examiner can normally be reached on Monday - Friday from 7:30am - 4:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael G. Lee can be reached on (571) 272-2398. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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

Application/Control Number: 11/075,493
Art Unit: 2876



Page 9

Le, Thien Minh
Primary Examiner
Art Unit 2876
February 27, 2007

Notice of References Cited	Application/Control No. 11/075,493	Applicant(s)/Patent Under Reexamination KILICCOTE, HAN	
	Examiner Thien M. Le	Art Unit 2876	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2006/0095369	05-2006	Hofi, Eyal	705/039
*	B	US-2006/0087407	04-2006	Stewart et al.	340/010.52
*	C	US-2003/0216831	11-2003	Hart et al.	700/235
*	D	US-2004/0125402	07-2004	Kanai et al.	358/001.15
	E	US-			
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	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

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

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

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

U.S. Patent and Trademark Office
PTO-892 (Rev. 01-2001)

Notice of References Cited

Part of Paper No. 20070226

Early Warning
IPR2024-01221
Ex. 1003-78

Index of Claims 		Application/Control No. 11/075,493 Examiner Thien M. Le	Applicant(s)/Patent under Reexamination KILICCOTE, HAN Art Unit 2876
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√ Rejected = Allowed	- (Through numeral) Cancelled + Restricted	N Non-Elected I Interference	A Appeal O Objected
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Claim		Date													
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Search Notes 		Application/Control No. 11/075,493 Examiner Thien M. Le	Applicant(s)/Patent under Reexamination KILICCOTE, HAN Art Unit 2876
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SEARCHED			
Class	Subclass	Date	Examiner
235	380		
	375		
	379		
	382		
	382.5		
705	39		
	76		
340	10.52		
	10.3		
	5.8		
358	1.15		
	1.1	2/27/2007	LTM

SEARCH NOTES (INCLUDING SEARCH STRATEGY)		
	DATE	EXMR
EAST	2/27/2007	LTM

INTERFERENCE SEARCHED			
Class	Subclass	Date	Examiner



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 Alexandria, Virginia 22313-1450
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Bib Data Sheet

CONFIRMATION NO. 3866

SERIAL NUMBER 11/075,493	FILING OR 371(c) DATE 03/08/2005 RULE	CLASS 235	GROUP ART UNIT 2876	ATTORNEY DOCKET NO. 073187-0012
APPLICANTS Han Kiliccote, Los Altos, CA; ** CONTINUING DATA ***** <i>km</i> ** FOREIGN APPLICATIONS ***** <i>km</i>				
IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 04/11/2005 ** SMALL ENTITY **				
Foreign Priority claimed ☐ yes ☒ no 35 USC 119 (a-d) conditions met ☐ yes ☒ no ☐ Met after Allowance Verified and Acknowledged <i>[Signature]</i> Examiner's Signature Initials		STATE OR COUNTRY CA	SHEETS DRAWING 13	TOTAL CLAIMS 47
INDEPENDENT CLAIMS 2				
ADDRESS 31824				
TITLE Method and apparatus for providing secure identification, verification and authorization				
FILING FEE RECEIVED 1175	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		☐ All Fees ☐ 1.16 Fees (Filing) ☐ 1.17 Fees (Processing Ext. of time) ☐ 1.18 Fees (Issue) ☐ Other _____ ☐ Credit	

http://neo:8000/PrexServlet/PrexAction

2/26/2007

EAST Search History

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L9	2104	(705/39,76).CCLS.	US-PGPUB; USPAT	OR	OFF	2007/02/27 15:13
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Page 1

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EAST Search History

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EAST Search History

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S6	204434	"I3" or "I4"	US-PGPUB; USPAT; USOCR; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2007/02/27 05:10



Docket No.: 073187-0012

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Han Kiliccote

Serial No.: 11/075,493

Filed: March 8, 2005

For: METHOD AND APPARATUS FOR
PROVIDING SECURE
IDENTIFICATION, VERIFICATION
AND AUTHORIZATION

: Customer Number: 31824

: Confirmation Number: 3866

: Group Art Unit: 2876

: Examiner: Not Yet Assigned

CERTIFICATE OF MAILING UNDER 37 CFR 1.8

I hereby certify that this document and all listed attachments are being deposited with the United States Postal Service with sufficient postage as First Class Mail under 37 CFR 1.8(a) in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 27, 2005.


ALEXANDRA LIU

04-27-05
Date

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

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Attached is a copy of the Filing Receipt received from the U.S. Patent and Trademark Office in the above-referenced application. The word "Indentification" was misspelled in the title. The title should read -METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION--.. It is therefore respectfully requested that a corrected Filing Receipt be issued.

The foregoing error is not attributed to the Applicant. Therefore, it is believed that no fee is due. If it is determined that a fee is due in connection with this paper, the Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any

Early Warning
IPR2024-01221
Ex. 1003-87

Serial No. 11/075,493

overpayment, to Deposit Account No. 502203.

Respectfully submitted,

MCDERMOTT WILL & EMERY LLP



Horace H. Ng
Registration No. 39,315

18191 Von Karman Ave., Suite 400
Irvine, CA 92612-7107
Phone: 949.851.0633
Facsimile: 949.851.9348
Date: April 27, 2005
MPK 90286-1.073187.0012

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
11/075,493	03/08/2005	2876	1175	073187-0012	13	47	2

31824
MCDERMOTT WILL & EMERY LLP
18191 VON KARMAN AVE.
IRVINE, CA 92612-7107

RECEIVED

APR 14 2005

MCDERMOTT, WILL & EMERY

CONFIRMATION NO. 3866

FILING RECEIPT



OC000000015705938

Date Mailed: 04/11/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. 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 mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. 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 (if appropriate).

Applicant(s)

Han Kiliccote, Los Altos, CA;

Power of Attorney: None

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted: 04/11/2005

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US11/075,493**

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

** SMALL ENTITY **

Title

Early Warning
IPR2024-01221
Ex. 1003-89

Preliminary Class

235

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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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15886 U.S. PTO
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11/07/5493

030805

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.UTILITY
PATENT APPLICATION
TRANSMITTAL

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

Attorney Docket No.	073187-0012
First Inventor	Han Kilicote
Title	METHOD AND APPARATUS FOR PROVIDING
Express Mail Label No.	ED 272354958 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form** (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ **Applicant claims small entity status.**
See 37 CFR 1.27.
3. ☒ **Specification** [Total Pages 29]
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 13]
5. **Oath or Declaration** [Total Sheets 2]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ A copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
name in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ **Application Data Sheet.** See 37 CFR 1.76
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:

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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(b) 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:** _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-In-part (CIP) of prior application No.: _____

Prior application information: Examiner _____ Art Unit: _____

19. CORRESPONDENCE ADDRESS

☒ The address associated with Customer Number: 31824 OR ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Signature			Date	March 8, 2005
Name (Print/Type)	Horace H. Ng	Registration No. (Attorney/Agent)	39,315	

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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13866

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Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).		Complete if Known	
FEE TRANSMITTAL For FY 2005		Application Number	
		Filing Date	
		First Named Inventor	Han Kiliccote
		Examiner Name	Unassigned
		Art Unit	Unassigned
☒ Applicant claims small entity status. See 37 CFR 1.27		Attorney Docket No.	073187-0012
TOTAL AMOUNT OF PAYMENT		(\$ 1,175.00	

METHOD OF PAYMENT (check all that apply)	
☐ Check	☐ Credit Card
☐ Money Order	☐ None
☐ Other (please identify): _____	
☒ Deposit Account Deposit Account Number: 502203 Deposit Account Name: McDermott Will & Emery LLP	
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)	
☒ Charge fee(s) indicated below	☐ Charge fee(s) indicated below, except for the filing fee
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FEE CALCULATION							
1. BASIC FILING, SEARCH, AND EXAMINATION FEES							
	FILING FEES		SEARCH FEES		EXAMINATION FEES		
		Small Entity		Small Entity		Small Entity	
Application Type	Fee (\$)	Fee (\$)	Fee (\$)	Fee (\$)	Fee (\$)	Fee (\$)	Fees Paid (\$)
Utility	300	150	500	250	200	100	500.00
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	
2. EXCESS CLAIM FEES							
							Small Entity
Fee Description							Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent							50
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent							200
Multiple dependent claims							360
Total Claims							
47 - 20 or HP = 27 x 25 = 675							
HP = highest number of total claims paid for, if greater than 20							
Indep. Claims							
2 - 3 or HP = 0 x 100 =							
HP = highest number of independent claims paid for, if greater than 3							
3. APPLICATION SIZE FEE							
If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 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).							
Total Sheets							
- 100 = / 50 = (round up to a whole number) x							
4. OTHER FEE(S)							
Non-English Specification, \$130 fee (no small entity discount)							
Other:							

SUBMITTED BY			
Signature		Registration No. (Attorney/Agent)	39,315
Name (Print/Type)	Horace H. Ng	Telephone	650.813.5000
		Date	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, 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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15866 U.S. PTO
030805Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office. U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.UTILITY
PATENT APPLICATION
TRANSMITTAL

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

Attorney Docket No.	073187-0012
First Inventor	Han Kilicote
Title	METHOD AND APPARATUS FOR PROVIDING
Express Mail Label No.	ED 272354958 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form** (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ **Applicant claims small entity status.**
See 37 CFR 1.27.
3. ☒ **Specification** [Total Pages 29]
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 13]
5. **Oath or Declaration** [Total Sheets 2]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ A copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
name in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ **Application Data Sheet.** See 37 CFR 1.76
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:

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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(b) Statement** (when there is an assignee) ☐ **Power of Attorney**
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:** _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-In-part (CIP) of prior application No.: _____

Prior application information: Examiner _____ Art Unit: _____

19. CORRESPONDENCE ADDRESS

☒ The address associated with Customer Number: 31824 OR ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Signature

Date

March 8, 2005

Name
(Print/Type)

Horace H. Ng

Registration No.
(Attorney/Agent)

39,315

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13866

US PTO

PTO/SB/17 (12-04)
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Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).		Complete if Known	
FEE TRANSMITTAL For FY 2005		Application Number	
		Filing Date	
		First Named Inventor	Han Kiliccote
		Examiner Name	Unassigned
		Art Unit	Unassigned
☒ Applicant claims small entity status. See 37 CFR 1.27		Attorney Docket No.	073187-0012
TOTAL AMOUNT OF PAYMENT		(\$ 1,175.00	

METHOD OF PAYMENT (check all that apply)	
☐ Check	☐ Credit Card
☐ Money Order	☐ None
☐ Other (please identify): _____	
☒ Deposit Account Deposit Account Number: 502203 Deposit Account Name: McDermott Will & Emery LLP	
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)	
☒ Charge fee(s) indicated below	☐ Charge fee(s) indicated below, except for the filing fee
☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17	☒ Credit any overpayments
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FEE CALCULATION							
1. BASIC FILING, SEARCH, AND EXAMINATION FEES							
Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	500.00
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	
2. EXCESS CLAIM FEES							
Fee Description							
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent							
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent							
Multiple dependent claims							
Total Claims Extra Claims Fee (\$) Fee Paid (\$) Multiple Dependent Claims Fee (\$) Fee Paid (\$)							
47 - 20 or HP = 27 x 25 = 675							
HP = highest number of total claims paid for, if greater than 20							
Indep. Claims Extra Claims Fee (\$) Fee Paid (\$)							
2 - 3 or HP = 0 x 100 =							
HP = highest number of independent claims paid for, if greater than 3							
3. APPLICATION SIZE FEE							
If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 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).							
Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$) Fee Paid (\$)							
- 100 = / 50 = (round up to a whole number) x =							
4. OTHER FEE(S)							
Non-English Specification, \$130 fee (no small entity discount)							
Other:							

SUBMITTED BY			
Signature		Registration No. (Attorney/Agent)	39,315
Name (Print/Type)	Horace H. Ng	Telephone	650.813.5000
		Date	

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UNITED STATES PATENT APPLICATION

FOR

METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION,
VERIFICATION AND AUTHORIZATION

5

10 Inventor(s): Han Kiliccote, a citizen of United States of America, residing at
1901 Alford Avenue,
Los Altos, CA 94024

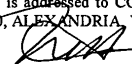
15

Entity: Small

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30 McDERMOTT WILL & EMERY LLP
18191 Von Karman Avenue
Suite 400
Irvine, CA 92612
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CERTIFICATE OF MAILING UNDER 37 CFR 1.10	
"EXPRESS MAIL"	
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 _____ HORACE NG	<u>3/8/05</u> _____ Date

**METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION,
VERIFICATION AND AUTHORIZATION**

BACKGROUND

5 Field

[0001] The present invention relates generally to secure transactions, and more specifically, to methods and devices for providing secure identification, verification and authorization using a portable secure device.

Background

10 [0002] There are many applications where authentication can be useful including, for example, e-commerce transactions, secure system access, etc. Authentication technologies are generally implemented to verify the identify of a user prior to allowing the user to have ability to perform certain tasks, such as, accessing confidential information or conducting authorized transactions. Many authentication systems are known in the art and the methodologies
15 associated with these systems cover a wide range of techniques.

[0003] The use of credit and debit cards to conduct payment transactions is very popular. Credit and debit cards can be used for paying telephone charges and purchase transactions. With the burgeoning growth of online or e-commerce, the use of credit and debit cards to pay for online transactions is also increasing. Such increase use of credit and debit cards also results in
20 increase in identity theft crimes including credit card fraud. In response, card issuers are employing various different measures in order to minimize and/or prevent such crimes. For example, in order to provide sufficient authentication, a user may be required to provide additional information during the card approval process, such as, certain numbers printed on the back of the card, the postal zip code for the billing address associated with the card, or a persona
25 identification number (PIN) linked to the card. Because such information is static, it may be of nominal effectiveness.

[0004] In one existing system, an apparatus is provided for identifying an individual. The apparatus employs a static value and a dynamic variable to generate passwords. For every transaction to be completed, a fixed code is entered into the card by the user at the start of the
30 access request procedure. This fixed code constitutes the static value. The dynamic variable is

produced which varies dynamically as a function of time. The static value and the dynamic variable are next used as input parameters of a secret encryption algorithm implemented in order to produce a password in the card. This password is displayed on the card and the user is invited to transfer it to a server. The fixed code is also transferred to the server. The server then
5 calculates the password by using the same encryption algorithm and the dynamic variable. The password generated by the password is compared with the password transmitted to the server by the user. In the event of matching, authorization for access to the function can be delivered. It will be noted that the dynamic variable is a time-dependent dynamic value. Since this variable is necessarily produced independently, both in the card and in the server, the clocks of these two
10 facilities used to produce the dynamic variable on each side must be synchronized with a given accuracy. As a result, the apparatus requires time-dependent synchronization and shared secret keys.

[0005] Another existing system discloses a method and apparatus for secure credit card transactions. This apparatus comprises an authorization computer and a credit card that work in
15 conjunction with each other to enhance the security of credit card transactions. More specifically, the system includes a smart credit card that has a microprocessor, associated memories and a liquid crystal display. The credit card is used to produce a unique verification number by processing a transaction sequence number with an encryption algorithm. The verification number is then displayed in the display device, and can be transmitted to the
20 authorization computer along with a customer identifying account number. The computer, which is used for authorizing the credit card transactions for the customers of the credit card issuer, uses the account number to access an account file for the credit cardholder. The account file contains a de-encryption algorithm, which is complementary to the encryption algorithm of the credit card, such that the computer can use the de-encryption algorithm together with the
25 verification number to produce a computed transaction sequence number. Both transaction sequence numbers, the one in the card and the one in the computer, are changed by increment after the authorized transaction so that a different verification number is generated and used in the authorization in each subsequent credit card transaction. Synchronization between the card and the computer is required.

[0006] In another existing system, a portable information and transaction processing system and method utilizing biometric authorization and digital certificate security is disclosed. The system uses a portable client PDA with touch screen, microphone, and CPU for processing voice commands, and processing biometric data to verify a user. In fact, the system requires the use of a PDA in which the user stores his financial and personal information. A digital certificate is downloaded from a central server of a service provider. The digital certificate accomplishes the goal of identification verification by checking whether the digital certificate is expired before providing any credit card information. This system is intended for managing financial data. The foregoing system requires use of shared secret keys between the user and the verifier. It also requires time-dependent synchronization for user verification purposes.

[0007] Another prior art system discloses a token issuing system, a mobile communication means, a token verification system and tokens. A user of the mobile communication means can use this system by ordering a certain token from the token issuing system, which produces a token and transmits the token to the mobile communication means. The user of the mobile communication means can then later use the token by effecting the transfer of the token to the token verification system, which receives and processes the token, and allows the user to obtain the benefit, right, or product associated with the token. In one embodiment, the user of the mobile communication means types the token on a keypad of the verifying system. The verifying system can include a scanning or image capture device for reading information on a display of the mobile communication means. The verifying system can comprise a digital camera for obtaining images. In another embodiment, the mobile communication means displays the token as a bar code on a display of the mobile communication means. The verifying system uses a shared key to decrypt the encoded string received from the mobile communication means.

[0008] Another prior art system discloses an authentication and verification method and apparatus employing tokens. The token, which can be a credit-card sized clip or carried as part of a key chain, works in conjunction with hardware or software running on a supplier's server system to generate a new, unpredictable code every 60 seconds that is known to the supplier server. For instance, each user may receive a personal token having a hidden 6-digit numerical string. The user further selects a 4-digit personal identification number (PIN) that is appended to

the hidden numerical string in the token. The user's password is therefore the combination of the 4-digit PIN plus the hidden 6-digit numerical string. The 6-digit numerical string in the token automatically changes every 60 seconds. A security server compares the user-entered password with its knowledge of what password should have been entered for that 60-second period. The
5 foregoing system requires time-dependent synchronization. Further, the passwords change every 60 seconds.

[0009] Hence, it would be desirable to provide methods and devices that are capable of providing secure transactions in a more efficient manner.

SUMMARY

10 [0010] An apparatus for providing a secure transaction is disclosed. In one embodiment, the apparatus includes an image capture device configured to capture an image having information embedded therein, a memory configured to store predetermined information, an input unit configured to receive input information provided by a user, a processor configured to:
15 verify the user based on the input information to ensure that the user is authorized to use the apparatus, and generate an output based on the information embedded in the image and the predetermined information, and an output unit configured to forward the output generated by the processor.

[0011] The processor may be further configured to generate the output using the input information. The input information may include one of a personal identification number and
20 biometric information. The processor may also be configured to decode the information embedded in the image for use in generating the output by using an encryption, decryption or message authentication code algorithm.

[0012] In one aspect, the information embedded in the image may include information relating to a transaction. The output may represent an authentication code to be used to
25 authenticate the user with respect to the transaction. The output may also include a digital signature to be used to signify authorization by the user with respect to the transaction. The transaction includes an online transaction.

[0013] In another aspect, the information embedded in the image may include information relating to a set of items and the information embedded in the device may include payment card account information. The output may further include some or all of the information relating to the payment card account to be used for payment with respect to the transaction along with the signature or authorization code to be used as proof that the user of the device has authorized the transaction.

[0014] In yet another aspect, the information embedded in the image may include information relating to a password to be used to unlock a secured document. The output may include the password to be used to unlock the secured document.

10 [0015] In a further aspect, the information embedded in the image may include information provided by a vendor relating to a pending transaction. The output may include some or all of the information provided by the vendor to be used to alert the user with respect to the pending transaction.

[0016] The apparatus may include one of a mobile device, a smartcard, a card, a badge or a token. The mobile device may further include one of a cell phone and a personal digital assistant.

[0017] It is understood that other embodiments of the present invention will become readily apparent to those skilled in the art from the following detailed description, wherein various embodiments of the invention are shown and described by way of illustration. As will be realized, the invention is capable of other and different embodiments and its several details are capable of modification in various other respects, all without departing from the spirit and scope of the present invention. Accordingly, the drawings and detailed description are to be regarded as illustrative in nature and not as restrictive.

BRIEF DESCRIPTION OF THE DRAWINGS

25 [0018] Aspects of the present invention are illustrated by way of example, and not by way of limitation, in the accompanying drawings, wherein:

- [0019] FIG. 1 is a simplified schematic diagram illustrating a secure device according to one embodiment of the present invention;
- [0020] FIG. 2 is a flow diagram illustrating general operations of the secure device according to one embodiment of the present invention;
- 5 [0021] FIG. 3 is a simplified schematic diagram illustrating one authentication application of the secure device according to one embodiment of the present invention;
- [0022] FIG. 4 is a simplified schematic diagram illustrating another authentication application of the secure device according to one embodiment of the present invention;
- [0023] FIG. 5 is a simplified schematic diagram illustrating one authorization application
10 of the secure device according to one embodiment of the present invention;
- [0024] FIG. 6 is a simplified schematic diagram illustrating another authorization application of the secure device according to one embodiment of the present invention;
- [0025] FIG. 7 is a simplified schematic diagram illustrating one digital signature application of the secure device according to one embodiment of the present invention;
- 15 [0026] FIG. 8 is a flow diagram illustrating general operations of a document distribution application using the secure device according to one embodiment of the present invention;
- [0027] FIG. 9 is a simplified schematic diagram illustrating one online e-commerce application of the secure device according to one embodiment of the present invention;
- [0028] FIG. 10 is a simplified schematic diagram illustrating one check-out application
20 of the secure device according to one embodiment of the present invention;
- [0029] FIG. 11 is a simplified schematic diagram illustrating another check-out application of the secure device according to one embodiment of the present invention; and
- [0030] FIG. 12 is a simplified schematic diagram illustrating one phishing-prevention application of the secure device according to one embodiment of the present invention;

DETAILED DESCRIPTION

[0031] The detailed description set forth below in connection with the appended drawings is intended as a description of various embodiments of the present invention and is not intended to represent the only embodiments in which the present invention may be practiced.

5 The detailed description includes specific details for the purpose of providing a thorough understanding of the present invention. However, it will be apparent to those skilled in the art that the present invention may be practiced without these specific details. In some instances, well-known structures and components are shown in block diagram form in order to avoid obscuring the concepts of the present invention.

10 [0032] The present invention may be used for a number of different purposes including, for example, authentication, authorization, secure document distribution and guarding against phishing attacks, as will be further described below. The present invention may be used in both the offline and online environments and provide on-demand input capability.

[0033] One or more embodiments of the present invention will now be described. FIG. 1
15 illustrates one secure device 100 according to one embodiment of the present invention. The secure device 100 may include a processor 110, an image capture device or circuit 120, an input unit 130, an output unit 140 and a memory 150. The secure device 100 may be incorporated as part of a token, card, badge, key fob, personal digital assistant (PDA), and cellphone, etc.

[0034] The processor 110 may include control logic configured to control operations of
20 the secure device 100 including, for example, managing decryption and encryption functions. In some embodiments, the processor 110 may be implemented in the form of a smartcard. The smartcard may include a ciphering unit and a secure memory for storing, public keys, private keys and/or shared keys.

[0035] The image capture circuit 120 may include a digital camera or other types of
25 image capturing devices. The image capture circuit 120 is used to capture image and/or video information. The captured image and/or video information may include a barcode including an one-dimensional barcode, such as a linear barcode, or a multi-dimensional barcode, such as a 2D barcode, multiple barcodes in a single image or multiple barcodes in multiple images where multiple images form a stream of images or a video. As will be further described below, the

captured image and/or video information is used and processed for a number of different purposes.

[0036] The input device 130 may include a keypad, a touch sensitive screen, a biometric input unit or other types of devices that are capable of allowing a user to provide input
5 information. The biometric input unit may include at least one of a fingerprint recognition module and a facial recognition module. As will be further described below, the input information may be used for identification purposes to allow the secure device 100 to be activated by the user, as well as other purposes.

[0037] The output unit 140 may include a LCD (Liquid Crystal Display). The display
10 140 is used to display information to a user of the secure device 100.

[0038] The memory 150 may include any type of storage devices that can be used to store information.

[0039] The secure device 100 generally operates in the following manner, as shown in FIG. 2. At block 200, the secure device 100 via the image capture circuit 120 captures
15 information on a still or moving image or a stream of images. The stream of images may constitute a video. The image or video may include, for example, a linear or 2D barcode. Multiple barcodes may be embedded in the same image, or alternatively, multiple barcodes may be transmitted in multiple frames or images. The image or stream of images contain embedded information that is relevant to the transaction to be conducted. The information embedded in the
20 image or stream of images may be created using any one of a number of well-known decryption/encryption algorithms, such as, a symmetric system using shared keys an asymmetric system using public/private key pairs. For example, the information embedded in an image may be encrypted using a public key or signed by a private key. Based on the disclosure and teachings provided herein, a person of ordinary skill in the art will know how to select the
25 appropriate decryption/encryption algorithm for use according to the present invention.

[0040] At block 210, the secure device 100 also prompts a user to provide identification information via the input unit 130. The identification information may include a personal identification number (PIN), a password, and/or biometric information. The identification

information is used to identify the user to ensure that the user is authorized to use the secure device 100.

5 [0041] At block 220, the secure device 100 via the processor 110 decodes the captured image or video and extracts the relevant embedded information. The processor 110 has knowledge of the encryption algorithm that is used to create the image and thus is able to use the corresponding decryption algorithm to decode the captured image. The decryption algorithm may use one or more input parameters for decoding. For example, if the image is created using a public key, the corresponding private key (as well as other information, such as, predetermined information stored in the memory 150 and the input information provided by the user) may be used to decrypt or decode the captured image. The predetermined information may include, for example, address information, personal profile information and payment account information. The secure device 100 also checks the identification information provided by the user to verify or authenticate the user's identity. The identification information provided by the user is checked against information previously supplied by the user during registration.

15 [0042] At block 230, upon successful verification of the user's identity and decoding of the captured image, the secure device 100 generates the appropriate instructions or information for the user. The instructions or information may then be provided via the output unit 140 for further action by the user. The user may act on the instructions or information in a number of ways. For example, the instructions or information may be transmitted in the form of a radio or sonic signal. The transmitted signal may then be received by another party, such as, a merchant, seller, vendor or third-party service provider, for use in connection with various purposes, as will be further described below.

25 [0043] The secure device 100 can be deployed in a number of applications. In one illustrative application, the secure device 100 is used to effect authentication, as shown in FIG. 3. Authentication is needed for any system where the identity of a user has to be ascertained. As shown in FIG. 3, a user visits a website and is presented with a log-on screen 300. The user is required to enter certain correct information (such as, company ID 310, user ID 320 and password 330) before further access to the website is granted. In addition, the log-on screen 300 further displays an image or video 340. The image or video 340, such as a linear barcode, or

multiple barcodes in moving images contain certain embedded information that will be used to derive the corresponding authentication code 350. The correct authentication code 350 has to be entered in order to allow the user to continue to access the website.

5 **[0044]** The user activates the secure device 100 and uses the secure device 100 to scan the image or video 340. As part of the activation process, the user may need to enter a password or other types of identification information into the secure device 100 to ensure that the user is authorized to use the secure device 100. The secure device 100 then derives the authentication code 350 and other relevant information 360 based on the embedded information stored in the scanned image or video 340 and, optionally, other types of information including, for example, 10 predetermined information stored in the secure device 100 and identification information provided by the user. The derivation process may be performed using an encryption, a decryption or a message authentication algorithm. If the image 340 has been generated using an encryption or decryption algorithm, the derivation process may correspond to the encryption or decryption algorithm used to create the information embedded in the image or video 340. The 15 authentication code 350 and other relevant information 360 are displayed on secure device 100 for viewing by the user. The user may then key in the authentication code 350 as well as other required information (such as, company ID 310, user ID 320 and password 330) to obtain further access to the website. Since the website initially provides the image or video 340, the website also has knowledge regarding the correct authentication code 350 corresponding to the 20 information embedded in the image or video 340. The foregoing method may also be used to identify users or authenticate users to computer terminals, servers, and devices, etc.

[0045] If the output of the secure device 100 is transmitted in the form of a radio or sonic signal, a corresponding reception device at a station (such as, a computer, terminal or server) receiving the transmitted signal may deem the user identified if the signal corresponds to an 25 expected value at the station for a specific user and secure device 100 previously registered for that station.

[0046] The secure device 100 may also be used to identify or authenticate persons for physical access to structures and/or vehicles through entry points, such as, doors and gates. If the output of the secure device 100 is transmitted in the form of a radio or sonic signal, a station

(e.g., a merchant, seller, vendor, third part service provider, guard) receiving the transmitted signal may deem the user identified if the signal corresponds to an expected value at the station for a specific user and secure device 100. If, on the other hand, the output is in the form of a visual display displayed on the secure device 100, the user can enter the displayed information on a keypad attached to the station. The user can also read the information to a machine or a person over the telephone at the station. The user can also write down the displayed information on paper for immediate or later processing. The display may display an image that can be captured with a camera at the station, thereby eliminating the need for user to enter, read or write down the information.

10 **[0047]** In the identification mode, the output from the secure device 100 received at a station may be compared to all the registered users and devices to identify the user and the secure device 100 that would generate the expected output. With suitable selection of the encryption protocols, the output can be rendered deterministically or probabilistically unique for each user and device combination.

15 **[0048]** The image or video captured by the secure device 100 may also include additional information, such as, information relating to a website, server, terminal, device, structure or vehicle which the user is gaining access to. The image or video captured by the secure device 100 may further include a description of the action, such as, login to a server or terminal or access to a structure. In addition, the image or video captured by the secure device 100 may include a unique number, nonce, a transaction number or a random number, a number that the secure device 100 will use to derive the authentication code. Furthermore, the image or video captured by the device may include a digital signature generated by a trusted party.

25 **[0049]** The authentication process can also be accomplished in two steps to improve the security. The user may provide his or her information such as company ID, user ID, and a password in the first step of the authentication. The terminal, server, or website receiving the information may generate an image in the second step of the authentication process. The image generated in the second step of the authentication process may contain information specific for the user. Such information may include the identity of the user as established by the first step and a piece of information that can be used to prevent replay attacks. The piece of information

that can be used to prevent replay attacks include, for example, time of the last login, a sequence number assigned at the last authentication process, or a sequence number greater than a number embedded in the image at the last authentication process. Furthermore, such information may be digitally signed to prevent other parties from generating such information. The secure device

5 100 can be used to capture such information and the secure device 100 may verify the validity of such information by verifying the signature and the piece of information added to prevent replay attacks. For example, the secure device 100 may verify that the sequence number used by the site is larger than the last sequence number that the secure device 100 has captured.

[0050] The speed of the authentication process can be increased by establishing a secret key shared by the secure device 100 and the website, server or terminal requiring authentication. Such shared secret key can be selected by the website, server or terminal requiring authentication and sent to the secure device 100 through the images that embed such information. The shared secret key may be encrypted by the public key of the secure device 100 and signed by the private key of the website, server or terminal requiring authentication. The secure device 100, upon

15 receiving the information related to the shared secret key, may confirm the validity by verifying the digital signature associated with the information. Upon verification, the secure device 100 may store the shared secret key in a secure fashion. Any interaction with the website, server or terminal requiring authentication can use the shared secret key to create shorter signatures. Furthermore, such signatures can be created and verified faster than the digital signatures created using asymmetric encryption algorithms.

20

[0051] In another illustrative application, the secure device 100 can be used to effect authentication in an alternative manner, as shown in FIG. 4. Similarly, the user uses the secure device 100 to derive the authentication code 410 and other relevant information 420 from the scanned image or video 400. The secure device 100 then further prompts the user to enter

25 his/her personal identification number (PIN) 430 and/or other identification information. The PIN 430 and/or identification information may then be forwarded by the secure device 100 in the form of a message to the website server 440 via, for example, a wide area network (such as, a cellular or wireless network), SMS (Short Message Service), EMS (Extended Message Service), or other types of message delivery services or protocols. The message may include identity of

30 the user and secure device 100, a unique value generated by the secure device 100, and a unique

number, nonce, a transaction number or a random number embedded in the image. The message might be digitally signed and encrypted to protect and prove the identity of the user and the secure device 100 and also to prevent eavesdropping. If a shared secret key has been established previously, the shared secret key can also be used to increase the speed of the encryption and signature generation and shorten the message length.

[0052] The server 440, by using the unique number, the nonce, the transaction number or the random number transmitted with the message, may identify the session that the user is using to authenticate his or her identity and may then deem the session as authenticated, thereby allowing the user to conduct any desired transactions on the website. In one embodiment, the secure device 100 may be implemented as part of a cell phone or a personal digital assistant.

[0053] In another illustrative application, the secure device 100 can be used to effect authorization, as shown in FIG. 5. Initially, the user may be authenticated for permission to enter a website, terminal, server or device using the secure device 100 as described above or through other mechanisms. It is also possible that no prior authentication took place. After the user successfully logs in to the website, terminal, server or device, the user may perform a desired transaction, such as, transferring money between accounts. Such desired transaction may need to be further authorized to provide additional security. For example, as shown in FIG. 5, the user may complete a form 500 to effect transfer of money between accounts. Upon hitting the “transfer” button 510, the website, terminal, server or device displays an image or stream of images 520 and a blank designated entry 530 for a confirmation signature. The image or stream of images 520 include embedded information relating to the transfer transaction and possibly a unique transaction number. The embedded information might be encrypted and digitally signed for authentication purposes to prevent eavesdropping. The correct confirmation signature has to be provided in order to effect the transfer. The correct confirmation signature can be derived from the information embedded in the image or stream of images 520 using the secure device 100. More specifically, the user may use the secure device 100 to scan the image or stream of images 520. The secure device 100 may then decode the scanned image or stream of images 520 and derive the embedded information. The derived information relating to the transfer transaction may then be shown on a display 540 by the secure device 100 for viewing by the

user. The user may then verify the information. The user may optionally be asked to enter his or her personal identification number for authentication.

[0054] Upon completion of the authentication process, the secure device 100 may generate the corresponding confirmation signature 550. The confirmation signature may be a digital signature generated based on embedded information contained in the image or stream of images 520 and, optionally, other types of information, such as, an identification code that uniquely identifies the user and the secure device 100. If a shared secret key has been established beforehand, the generated confirmation signature may also be an authorization code derived from the identity of the user and secure device 100, the transaction information and the shared secret key. The user may then input the generated confirmation signature or authorization code into the designated entry 530. The website, terminal, server or device may then check the generated confirmation signature or authorization code relative to the information embedded in the image or stream of images 520. If the generated confirmation signature is correct for a specific user and/or secure device 100, the transfer transaction will be completed. Furthermore, the generated confirmation signature may be used as undisputed proof that the user has authorized the transfer transaction, thereby preventing the user from denying having performed the transaction.

[0055] In a similar illustrative application, the secure device 100 can be used to effect authorization in an alternative manner, as shown in FIG. 6. The authorization process is similar to that described in connection with FIG. 5 above. Alternatively, upon the secure device 100 generating the confirmation signature or authorization code, the secure device 100 may transmit the generated confirmation signature or authorization code to a transaction server 600 handling the transaction. The generated confirmation signature or authorization code may be transmitted in the form of a message in a number of ways including, for example, a wide area network (such as, a cellular or wireless network), email, SMS and EMS. The message may also include the unique transaction number embedded in the image or stream of images. In response, upon receiving the generated confirmation signature or authorization code, the transaction server 600 may then use the transaction number to identify the session and check the generated confirmation signature or authorization code relative to the information embedded in the image or stream of

images and, if appropriate, effect the transaction and display the confirmation information 610 to the user.

[0056] Authorization involving multiple parties, such as credit and debit card transactions, can also be achieved. For example, the authorization can be achieved by
5 embedding values derived from the transaction with secret information shared by the user of the secure device 100 and the other parties. The secrets shared by the user of the secure device 100 and the other parties can be credit card numbers, the expiration date of the card, the registered address of the user, and a password established by the user. The other parties can be merchants, banks, credit card issuers, and service providers that may need to be involved with the
10 transaction. A party receiving a user response can forward the response to any of the other parties for verification purposes. Such authorization may be used in connection with an online e-commerce transaction, as will be further described below.

[0057] In another illustrative application, the secure device 100 can be used to provide offline digital signature to effect authorization, as shown in FIG. 7. A sender seeking
15 authorization for a transaction forwards a printed form 700 to a user. The printed form 700 includes certain transaction information as well as an image 710, such as a barcode, or a set of images, such as a set of barcodes. The image 710 includes embedded information relating to the transaction. The user using the secure device 100 scans the image 710. The secure device 100 may then prompt the user to enter his/her personal identification number (PIN) 720 for
20 authentication purposes. Once the correct PIN 720 is entered, the secure device 100 decodes the scanned image 710 and derives the embedded transaction information. The transaction information is then shown via a display 730 on the secure device 100 to the user. The user may then provide approval of the transaction by entering the corresponding command into the secure device 100. The secure device 100 may then generate the corresponding confirmation signature
25 or authorization code 740 based on the information embedded in the image 710 and optionally the PIN 720 of the user and display the generated confirmation signature or authorization code 740 to the user. In response, the user may then provide the generated confirmation signature or authorization code 740 to the sender to confirm authorization via, for example, a telephone, a wide area network (such as, a cellular or wireless network), an email, SMS message, EMS
30 message or facsimile 750. Since the sender initially provides the image 710, the sender also has

knowledge with respect to the corresponding confirmation signature or authorization code. As a result, by receiving the generated confirmation signature or authorization code 740 from the user, the sender may verify whether the user is authorized to provide approval for the transaction.

[0058] In another illustrative application, the secure device 100 can be used to provide secure document distribution. FIG. 8 illustrates the logic flow with respect to using the secure device 100 to provide secure document distribution. At block 800, a document is created and secured using a password. The password can be viewed as the correct answer to a challenge. The challenge is presented to someone who attempts to access the secured document. At block 810, a message, such as an email, instant message (IM), SMS or EMS message, is created for a recipient with the secured document being included as an attachment. At block 820, an image or a stream of images is created. The image or stream of images includes embedded information relating to the password used to secure the document. The information embedded in the image or stream of images can be created using public keys that are stored locally or centrally managed. In one implementation, creation of the image or stream of images may be automated. For example, using the Microsoft Office application, a plug-in can be added to allow the image or stream of images containing the password to be inserted automatically into a message, such as an email; alternatively, the image or stream of images may also be created for S/MIME compatibility on an automated basis by generating a one-time certificate and attaching the certificate to the image or stream of images or encrypting the certificate with a randomly generated password, storing the certificate at a server and providing the password and the location of the certificate to the user through the image or stream of images.

[0059] At block 830, the image or stream of images is also included as part of the message. At block 840, the message including the secured document and the image or stream of images is delivered to the recipient. At block 850, upon opening the message, the recipient may use the secure device 100 to scan the image or stream of images. At block 860, upon retrieving the images or stream of images, the secure device 100 may then derive the embedded information from the images or stream of images including information relating to the password. Such information is then displayed to the user. At block 870, the user uses such information to access the secured document. For example, a challenge may be presented to the user when the user attempts to access the secured document. Upon providing the password, the challenge is

satisfied and the secured document can be accessed by the user. It can be seen that the secure device 100 provides a number of benefits with respect to secure document distribution. For example, the secure device 100 enables secure document distribution without incurring any additional software resources on the recipient. Furthermore, the recipient does not have to
5 manage any digital certificates, nor does the recipient have to install any drivers for hardware tokens. Finally, the recipient may use distrusted terminals to retrieve secured documents.

[0060] In a similar illustrative application, the secure device 100 can be used to effect digital rights management. The document may contain an access control list to limit the users to certain operations. For example, only certain users might be allowed to open, modify, change,
10 copy and/or print the information embedded in a document or media, such as, music or video. Furthermore, the digital certificates of the users might be embedded in the document or media directly. When a user tries to open, modify, change, print and/or copy the document or media through a program, the program might generate a challenge for a specific user dynamically. The challenge might be embedded in an image or stream of images which, for example, contain
15 barcodes. In response to the challenge, the user scans the image or stream of images using the secure device 100. The user might be optionally asked to provide a password to either the secure device 100 or the program. The secure device 100 might use the private key of the certificate associated with the user or secure device 100 to generate an authentication code in response to the challenge. The user may then provide the authentication code by entering it manually on a
20 terminal. The secure device 100 might also generate radio or sonic signals that might be captured by the terminal. The secure device 100 might also send a message, such as email, SMS or EMS message, to a server to provide the authentication code. The program upon receiving the authentication code confirms the identity of the user by comparing the response received. If the identity of the user is confirmed and the operation that the user is trying to accomplish is
25 allowed, the program performs the operation.

[0061] In a further illustrative application, the secure device 100 can be used to conduct transactions using images displayed on printed materials, such as books, signs, and catalogs, or transmitted to computers or television screens, as shown in FIG. 9. An image 900 or stream of images can be displayed on a catalog, book or sign. The image 900 or stream of images may
30 also be shown on a television or computer screen. The image 900 or stream of images may

include embedded information relating to a particular product or service (such as, product or service description and transaction identification), information related to a merchant providing the product or service, a public key assigned to the merchant, a digital signature of the public key, a digital signature for the transaction, the Internet address of the merchant, etc. Using the

5 secure device 100, a user may scan the image 900 or stream of images. The secure device 100 may then derive the relevant information relating to the product or service and display such information to the user as shown in block 910. The secure device 100 may further allow the user to conduct a transaction as shown in blocks 920-960. For example, as shown in block 920, the user may use the secure device 100 to enter selection and purchase information. Upon receiving

10 the selection and purchase information, the secure device 100 may then display the summarized transaction information to the user, as shown in block 930. If the user agrees with the summarized transaction information, the user may then authorize the transaction. As shown in block 940, the secure device 100 may require the user to provide a PIN to ensure that the user is authorized to order the transaction. Upon verifying the PIN provided by the user, the secure

15 device 100 may then proceed with the transaction, for example, by allowing the user to select a shipping address and displaying the final transaction information to the user, as shown in block 950-960. In addition, the secure device 100 may also allow the user to designate how the transaction is to be paid for, as shown in blocks 970-980. The secure device 100 may then forward the relevant transactional information to a server associated with the merchant for

20 further processing, as shown in block 990. Such information may be forwarded to the merchant using a number of different methods including, for example, a wide area network (such as, a cellular or wireless network), SMS, EMS or other types of message delivery services. The information may be encrypted. In addition, the secure device 100 may also forward a digital signature or authorization code associated with the transaction and generated by the secure

25 device 100 to the server. The digital signature or authorization code may be used to prove that the transaction was legitimately ordered by the secure device 100. Upon the server completing the transaction, confirmation information can be sent by the merchant to the secure device 100 for viewing by the user, as shown in block 992.

[0062] Alternatively, the transaction can be handled via a third party service provider.

30 The image or stream of images can be generated by the third party service provider. In this case, the public key and the server address of the third party service provider can be embedded in the

secure device 100. The server of the third party service provider can conduct the transaction on behalf of the user of the secure device 100.. The secure device 100 upon deciphering the image or stream of images can send a confirmation to the third party service provider through, for example, a wide area network (such as, a cellular or wireless network). The third party service provider can then cooperate with the server associated with the merchant to complete the transaction including, for example, transferring the information required to complete the transaction, such as payment and shipping information, to the server associated with the merchant. The third party service provider may also bill the user of the secure device 100 directly for the transaction amount.

10 **[0063]** In the situation where there is no communication channel between the secure device 100 and the third party service provider or the merchant, the secure device 100 and the third party service provider or merchant can utilize a shared secret key and identification information assigned to the secure device 100 or to the user of the secure device 100. The shared secret key and the identification information are previously provided to the secure device 100 and the service provider. The secure device 100 can capture the image or stream of images and decode its embedded information. The secure device 100 can then combine the decoded information and the identification information and encode the combination using the shared secret key. The encoded value, including a portion of the identification information, can be displayed on the secure device 100. The user may then provide the encoded value to the terminal, device, or website or may call the merchant or third party service provider to provide the encoded information. The third party service provider, upon receiving the encoded value, can send the information to the merchant for identification and verification purposes. The merchant, upon receiving the encoded value, can derive the identity of the user and verify that the secure device 100 has been in legitimate possession of the user.

25 **[0064]** In another illustrative application, the secure device 100 can be used in a checkout process, as shown in FIG. 10. At block 1000, upon checkout, a register generates an image or a stream of images for a transaction. The image or stream of images includes embedded information relating to the transaction. The image or stream of images is presented to the user. The user then uses the secure device 100 to scan the image or stream of images. The secure device 100 then derives the relevant information relating to the transaction from the barcode and

displays such information to the user, as shown in block 1010. The user may then authorize the transaction. The secure device 100 may further require the user to provide a PIN, as shown in block 1020, to ensure that the user is indeed authorized to approve the transaction. If the correct PIN is provided, the secure device 100 generates its own image or stream of images, as shown in
5 block 1030. The image or stream of images generated by the secure device 100 may include relevant transaction and payment information including, for example, credit card or other payment account information. The image or stream of images is then provided to the register, as shown in block 1040. The register may include a scanning device capable of scanning the image or stream of images displayed on the secure device 100. Upon retrieving the image or stream of
10 images from the secure device 100, the register may then derive the relevant information and use such information to contact a payment server to obtain payment for the transaction, as shown in block 1050. Depending on the information received from the register, the payment server may then provide the appropriate response to the register accordingly, as shown in block 1060.

[0065] In a further illustrative application, the secure device 100 can be used in a
15 checkout process in an alternative manner, as shown in FIG. 11. At block 1100, upon checkout, a register generates an image or a stream of images for a transaction. The image or stream of images includes embedded information relating to the transaction. The image or stream of images is presented to the user. The user then uses the secure device 100 to scan the image or stream of images. The secure device 100 then derives the relevant information relating to the
20 transaction from the image or stream of images and displays such information to the user, as shown in block 1110. The user may then further provide any additional information, such as, the transaction amount, and authorize the transaction, as shown in block 1120. The secure device 100 may further require the user to provide a PIN, as shown in block 1130, to ensure that the user is indeed authorized to order the transaction. If the correct PIN is provided, the secure
25 device 100 may then contact a payment server to complete payment for the transaction, as shown in block 1140. Upon successfully completing payment for the transaction, the payment server may then forward the appropriate confirmation information to the secure device 100, as shown in block 1150. The confirmation information may be forwarded to the secure device 100 in a number of ways including, for example, a wide area network (such as, a cellular or wireless
30 network), SMS, EMS and other types of message delivery services. Upon receiving the confirmation information, the secure device 100 may then generate its own image or stream of

images, as shown in block 1160. The image or stream of images generated by the secure device 100 may include relevant information relating to the transaction including, for example, the confirmation information. The image or stream of images may then be presented to the register for scanning. Upon retrieving the image or stream of images from the secure device 100, the register may then derive the relevant information and confirm that the transaction has been paid for and proceed to conclude the transaction, as shown in block 1170.

[0066] In yet another illustrative application, the secure device 100 can be used to defend against real-time phishing attacks, as shown in FIG. 12. Phishing attacks involve fraudulently capturing information from a user, for example, via a fake website, and then using such information to conduct unauthorized transactions. At 1230, a user 1200 unknowingly provides information to a fake website 1210, thinking that s/he is dealing with the legitimate website 1220. At 1240, the fake website 1210, upon capturing the information, then uses such information to contact the legitimate website 1220 and attempts to conduct an unauthorized transaction. At 1250, in order to confirm the transaction, the legitimate website 1220 generates an image or a stream of images that requires confirmation by the secure device 100. The image or stream of images may include confirmation information relating to the transaction. If the image or stream of images is forwarded to the secure device 100, as shown in 1260, the secure device 100 may then derive the confirmation information and display such information to the user, thereby allowing the user to detect that an unauthorized transaction has been attempted. The user may then terminate any connection to the fake website 1210. Alternatively, the legitimate website 1220 may include warning information in the image or stream of images, such as, information alerting the user to disconnect from the website 1210 and re-connect to the legitimate website 1220 directly. To guarantee only the legitimate user visits the legitimate website 1220, the information embedded in the image or stream of images may include a unique but randomly generated number. Such a number may be combined with the URL of the website to form a unique URL for a specific user for a specific period of time. Upon deriving the relevant information from the image or stream of images, the secure device 100 may then display such information to the user, thereby alerting the user to potential fraud and unauthorized transactions and also providing the user the unique URL that the user has to enter in a browser.

[0067] The legitimate website 1220 may also detect a legitimate user by using a cookie stored at the computer associated with the user. A cookie is a message stored in a text file and given to a Web browser by a Web server. The message is then sent back to the server each time the browser requests a page from the server. The main purpose of cookies is to identify users and possibly prepare customized Web pages for such users. A website can detect that a user has never used a particular computer to visit that website by requesting cookies stored in a browser associated with that computer. The cookie stored by the browser can uniquely identify a user. In the absence of the cookie, the website may request the user to visit the unique URL as described above.

10 **[0068]** In addition to the applications described above, the present invention can also be deployed in various other types of applications including, for example, digital signatures, encryption, secure ATM cards and secure credit cards, etc. Based on the disclosure and teachings provided herein, a person of ordinary skill in the art should know how to deploy the present invention in many other types of applications.

15 **[0069]** The various illustrative logical blocks, modules, circuits, elements, and/or components described in connection with the embodiments disclosed herein may be implemented or performed with a general purpose processor, a digital signal processor (DSP), an application specific integrated circuit (ASIC), a field programmable gate array (FPGA) or other programmable logic component, discrete gate or transistor logic, discrete hardware components, 20 or any combination thereof designed to perform the functions described herein. A general purpose processor may be a microprocessor, but in the alternative, the processor may be any conventional processor, controller, microcontroller, or state machine. A processor may also be implemented as a combination of computing components, e.g., a combination of a DSP and a microprocessor, a number of microprocessors, one or more microprocessors in conjunction with 25 a DSP core, or any other such configuration.

[0070] The methods or algorithms described in connection with the embodiments disclosed herein may be embodied directly in hardware, in a software module executable by a processor, or in a combination of both, in the form of control logic, programming instructions, or other directions, and may be contained in a single device or distributed across multiple devices.

A software module may reside in RAM memory, flash memory, ROM memory, EPROM memory, EEPROM memory, registers, hard disk, a removable disk, a CD-ROM, or any other form of storage medium known in the art. A storage medium may be coupled to the processor such that the processor can read information from, and write information to, the storage medium.

5 In the alternative, the storage medium may be integral to the processor.

[0071] The previous description of the disclosed embodiments is provided to enable any person skilled in the art to make or use the present invention. Various modifications to these embodiments will be readily apparent to those skilled in the art, and the generic principles defined herein may be applied to other embodiments without departing from the spirit of scope
10 of the invention. Thus, the present invention is not intended to be limited to the embodiments shown herein, but is to be accorded the full scope consistent with the claims, wherein reference to an element in the singular is not intended to mean “one and only one” unless specifically so stated, but rather “one or more”. All structural and functional equivalents to the elements of the various embodiments described throughout this disclosure that are known or later come to be
15 known to those of ordinary skill in the art are expressly incorporated herein by reference and are intended to be encompassed by the claims. Moreover, nothing disclosed herein is intended to be dedicated to the public regardless of whether such disclosure is explicitly recited in the claims. No claim element is to be construed under the provisions of 35 U.S.C. §112, sixth paragraph, unless the element is expressly recited using the phrase “means for” or, in the case of a method
20 claim, the element is recited using the phrase “step for”.

WHAT IS CLAIMED IS:

1. An apparatus for providing a secure transaction, the apparatus comprising:
an image capture device configured to capture an image, the image having
information embedded therein;
5 a memory configured to store predetermined information;
an input unit configured to receive input information provided by a user;
a processor configured to:
verify the user based on the input information to ensure that the user is
authorized to use the apparatus; and
10 generate an output based on the information embedded in the image and
the predetermined information; and
an output unit configured to forward the output generated by the processor.
2. The apparatus of claim 1 wherein the processor is further configured to generate
the output using the input information.
- 15 3. The apparatus of claim 1 wherein the processor is further configured to decode
the information embedded in the image for use in generating the output by using a decryption
algorithm.
4. The apparatus of claim 1 wherein the input information includes one of a personal
identification number and biometric information.
- 20 5. The apparatus of claim 1 wherein the output unit is a display.
6. The apparatus of claim 1 wherein the output is provided to a verifier, the verifier
having access to the information embedded in the image.
7. The apparatus of claim 1 wherein the image includes a barcode.
8. The apparatus of claim 7 wherein the barcode includes a multi-dimensional
25 barcode.
9. The apparatus of claim 1 wherein the image includes a set of barcodes.
10. The apparatus of claim 9 wherein the set of barcodes includes a set of multi-
dimensional barcodes.

11. The apparatus of claim 1 wherein the information embedded in the image includes information relating to a transaction; and
wherein the output represents an authentication code to be used to authenticate the user with respect to the transaction.
- 5 12. The apparatus of claim 1 wherein the information embedded in the image includes information relating to a transaction; and
wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.
13. The apparatus of claim 12 wherein the transaction includes an online transaction.
- 10 14. The apparatus of claim 12 wherein the predetermined information includes information relating to a payment card account; and
wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.
- 15 15. The apparatus of claim 1 wherein the information embedded in the image includes information relating to a transaction; and
wherein the output includes an authorization code to be used to signify authorization by the user with respect to the transaction.
16. The apparatus of claim 1 wherein the output unit includes control logic configured to forward the output using a message delivery protocol.
- 20 17. The apparatus of claim 16 wherein the message delivery protocol includes the Short Message Service.
18. The apparatus of claim 16 wherein the message delivery protocol includes email.
19. The apparatus of claim 16 wherein the message delivery protocol includes the Extended Message Service.
- 25 20. The apparatus of claim 1 wherein the information embedded in the image includes information relating to a password to be used to unlock a secured document; and
wherein the output includes the password to be used to unlock the secured document.

21. The apparatus of claim 1 wherein the information embedded in the image includes information relating to a challenge; and
wherein the output includes a password to be used to satisfy the challenge and unlock a secured document.
- 5 22. The apparatus of claim 1 wherein the information embedded in the image includes information provided by a vendor relating to a pending transaction; and
wherein the output includes some or all of the information provided by the vendor to be used to alert the user with respect to the pending transaction.
23. A mobile device incorporating the apparatus as recited in claim 1.
- 10 24. A smartcard incorporating the apparatus as recited in claim 1.
25. A method of providing secure transaction, the method comprising:
configuring a portable device to:
capture an image, the image having information embedded therein;
store predetermined information;
15 receive input information provided by a user;
verify the user based on the input information to ensure that the user is
authorized to use the portable device;
generate an output based on the information embedded in the image and
the predetermined information; and
20 forward the generated output to the user.
26. The method of claim 25 further comprising:
configuring the portable device to generate the output using the input information.
27. The method of claim 25 further comprising:
configuring the portable device to decode the information embedded in the image
25 for use in generating the output by using a decryption algorithm.
28. The method of claim 25 wherein the input information includes one of a personal identification number and biometric information.
29. The method of claim 25 further comprising:
configuring the portable device to display the output.

30. The method of claim 25 wherein the output is provided to a verifier, the verifier having access to the information embedded in the image.
31. The method of claim 25 wherein the image includes a barcode.
32. The method of claim 31 wherein the barcode includes a multi-dimensional
5 barcode.
33. The method of claim 25 wherein the image includes a set of barcodes.
34. The method of claim 33 wherein the set of barcodes includes a set of multi-dimensional barcodes.
35. The method of claim 25 wherein the information embedded in the image includes
10 information relating to a transaction; and
wherein the output represents an authentication code to be used to authenticate the user with respect to the transaction.
36. The method of claim 25 wherein the information embedded in the image includes information relating to a transaction; and
15 wherein the output includes a digital signature to be used to signify authorization by the user with respect to the transaction.
37. The method of claim 36 wherein the transaction includes an online transaction.
38. The method of claim 36 wherein the predetermined information includes information relating to a payment card account; and
20 wherein the output further includes some or all of the information relating to the payment card account to be used for payment with respect to the transaction.
39. The method of claim 25 wherein the information embedded in the image includes information relating to a transaction; and
wherein the output includes an authorization code to be used to signify
25 authorization by the user with respect to the transaction.
40. The method of claim 25 further comprising:
configuring the portable device to forward the output using a message delivery protocol.

41. The method of claim 40 wherein the message delivery protocol includes the Short Message Service.

42. The method of claim 40 wherein the message delivery protocol includes email.

43. The method of claim 40 wherein the message delivery protocol includes the
5 Extended Message Service.

44. The method of claim 25 wherein the information embedded in the image includes information relating to a password to be used to unlock a secured document; and wherein the output includes the password to be used to unlock the secured document.

45. The method of claim 25 wherein the information embedded in the image includes
10 information provided by a vendor relating to a pending transaction; and wherein the output includes some or all of the information provided by the vendor to be used to alert the user with respect to the pending transaction.

46. The method of claim 25 wherein the information embedded in the image includes information relating to a challenge;
15 wherein the output includes a password to be used to satisfy the challenge and unlock a secured document.

47. The method of claim 25 wherein the portable device includes one of a cell phone, a personal digital assistant, and a smartcard.

**METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION,
VERIFICATION AND AUTHORIZATION**

ABSTRACT OF THE DISCLOSURE

5 An apparatus for providing a secure transaction is disclosed. The apparatus includes an
image capture device configured to capture an image, the image having information embedded
therein, a memory configured to store predetermined information, an input unit configured to
receive input information provided by a user, a processor configured to: verify the user based on
the input information to ensure that the user is authorized to use the apparatus, and generate an
output based on the information embedded in the image and the predetermined information, and
10 an output unit configured to forward the output generated by the processor.

MPK 87050-1.073187.0012

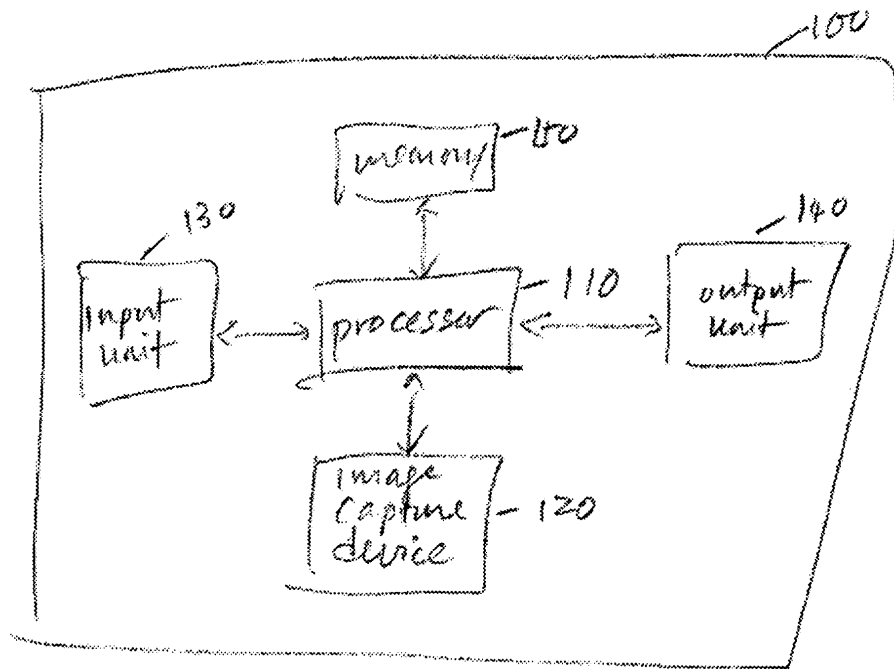


FIG. 1

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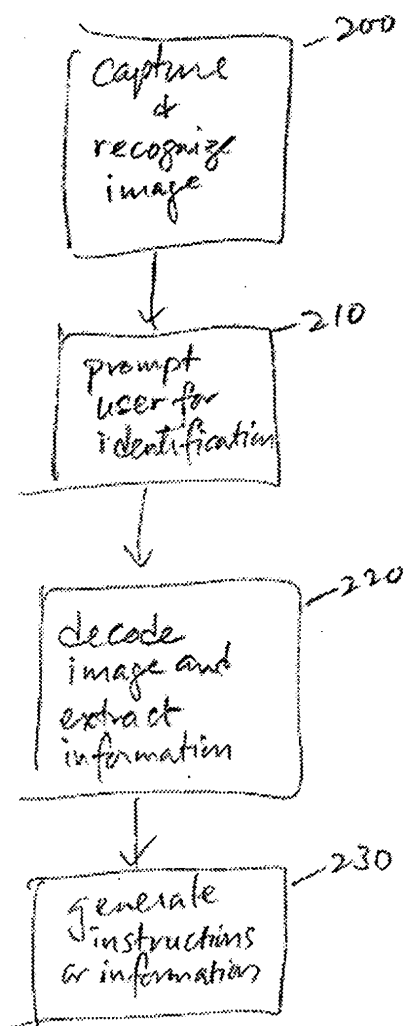


FIG. 2

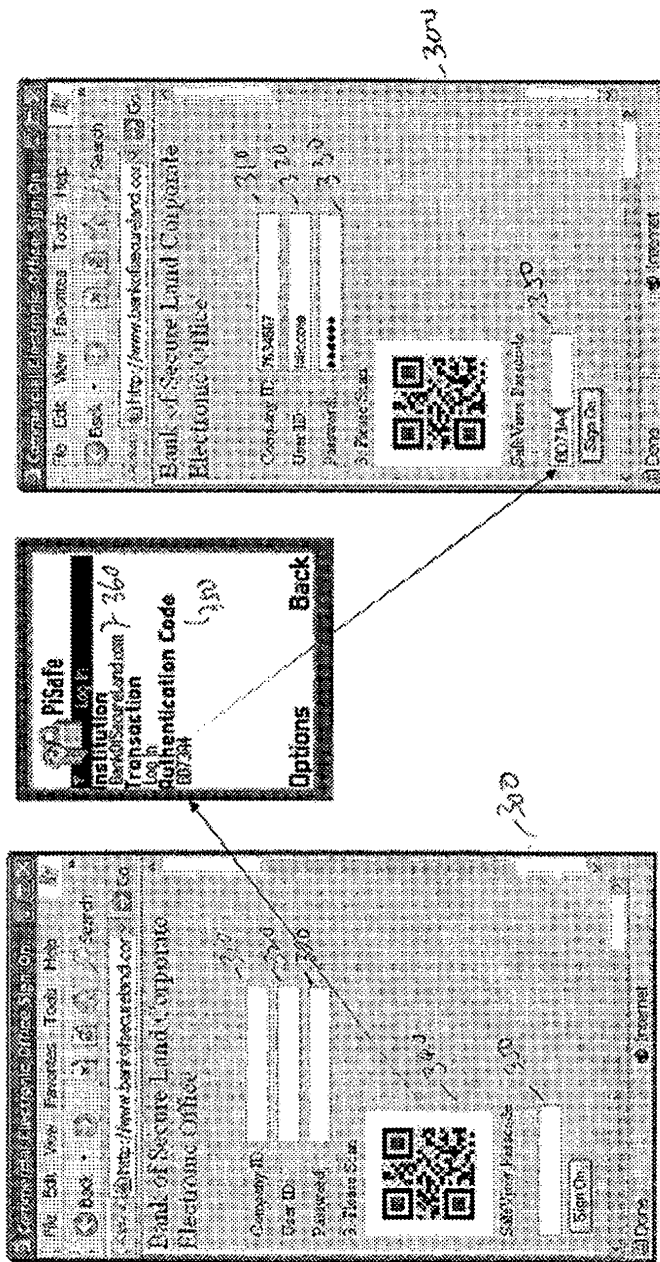


FIG. 3

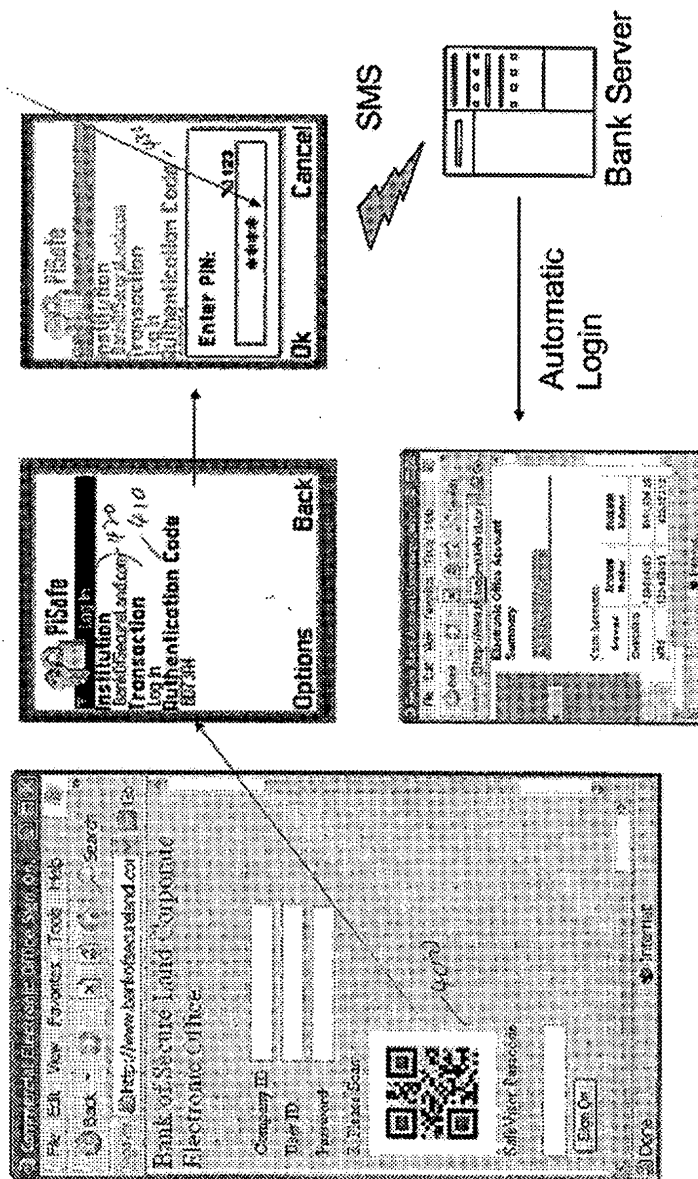


FIG. 4

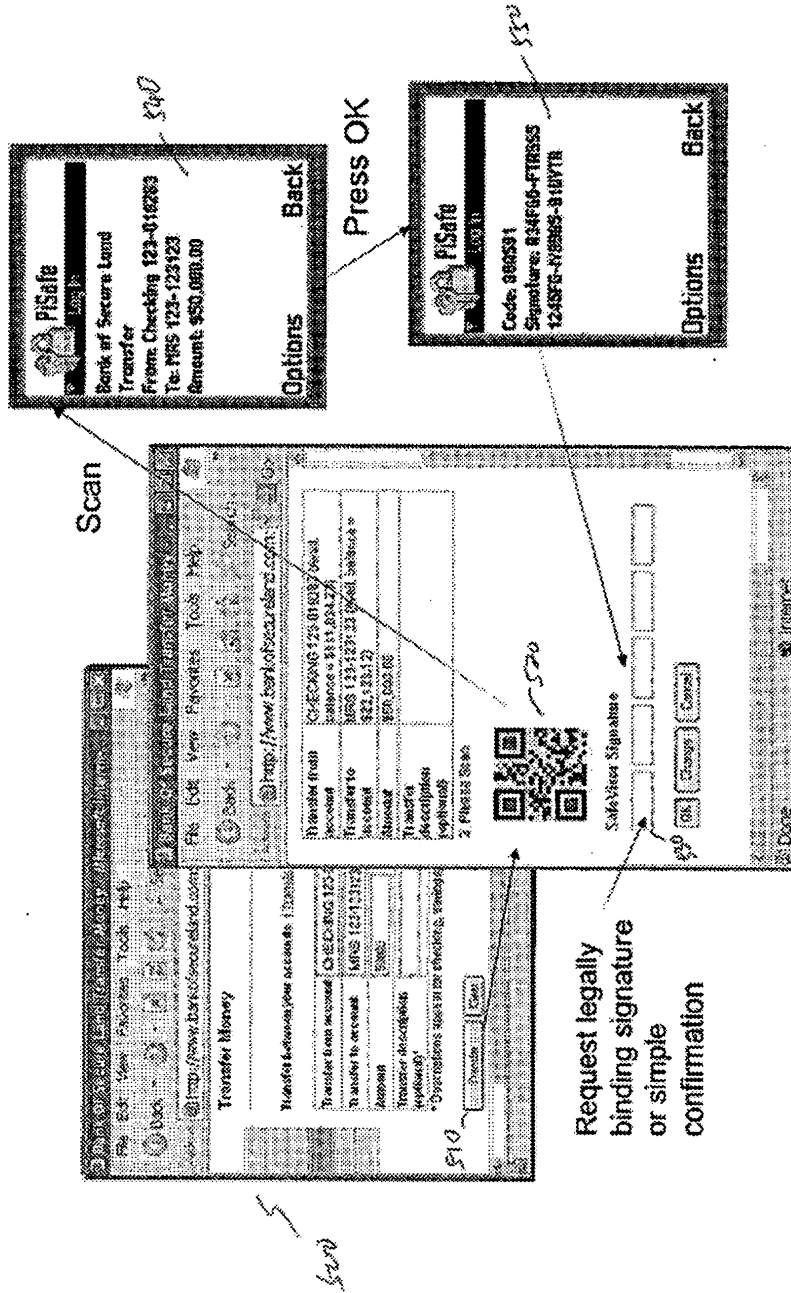


FIG. 5

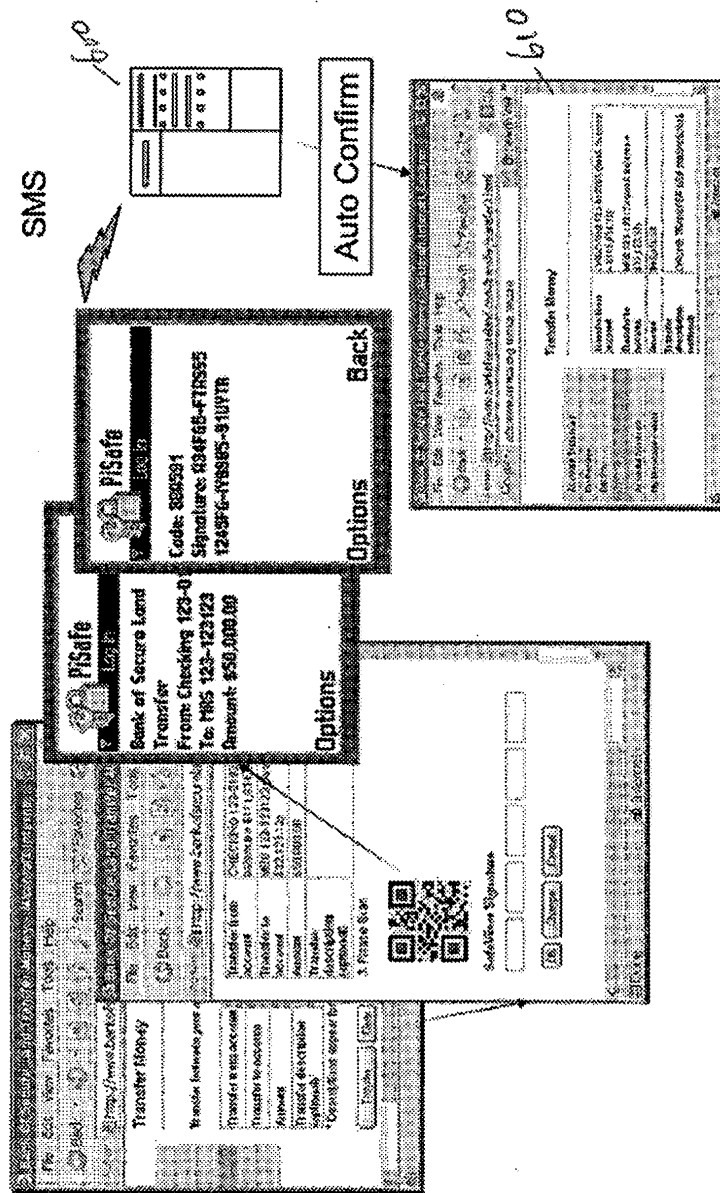


FIG. 6

Bank of Secure Land

Software 1.0.102

730

Fax

Transfer

From Checking 123-019293
To: MRS 123-123123
Amount: \$50,000.00

Back

Bank of Secure Land

Software 1.0.102

730

Fax

Transfer

From Checking 123-019293
To: MRS 123-123123
Amount: \$50,000.00

Back

Bank of Secure Land

Software 1.0.102

730

Fax

Transfer

From Checking 123-019293
To: MRS 123-123123
Amount: \$50,000.00

Back

Bank of Secure Land

Software 1.0.102

730

Fax

Transfer

From Checking 123-019293
To: MRS 123-123123
Amount: \$50,000.00

Back

Bank of Secure Land

Software 1.0.102

730

Fax

Transfer

From Checking 123-019293
To: MRS 123-123123
Amount: \$50,000.00

Back

Bank of Secure Land

Software 1.0.102

730

Fax

Transfer

From Checking 123-019293
To: MRS 123-123123
Amount: \$50,000.00

Back

FIG. 7

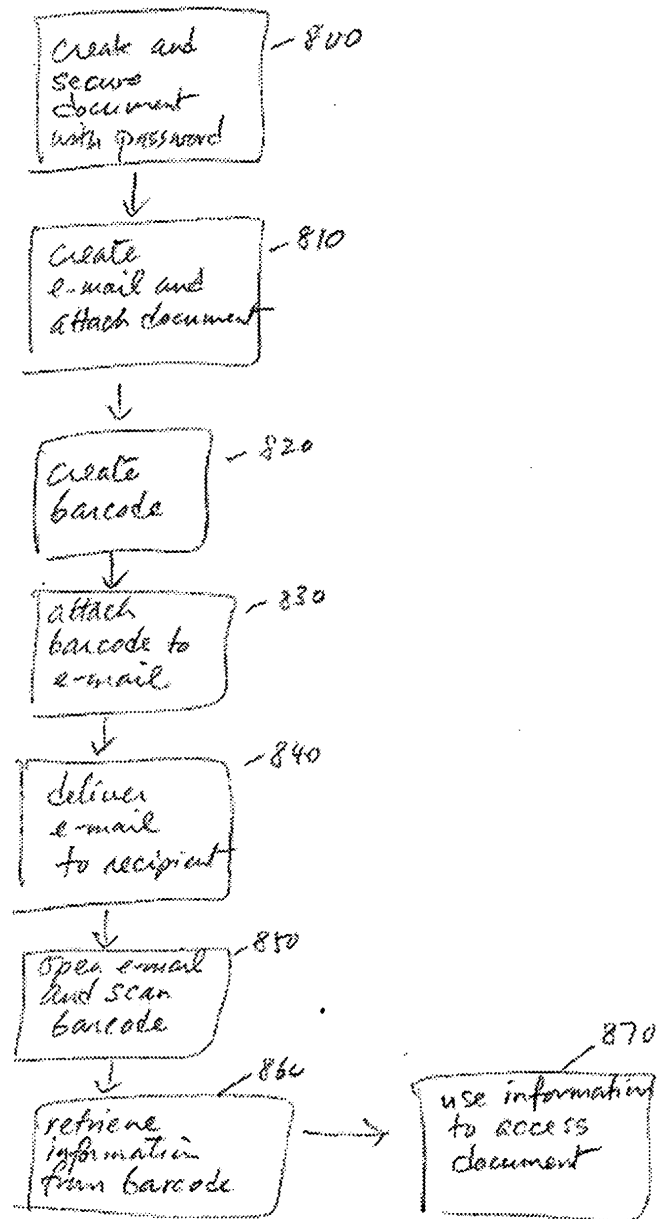


FIG. 8

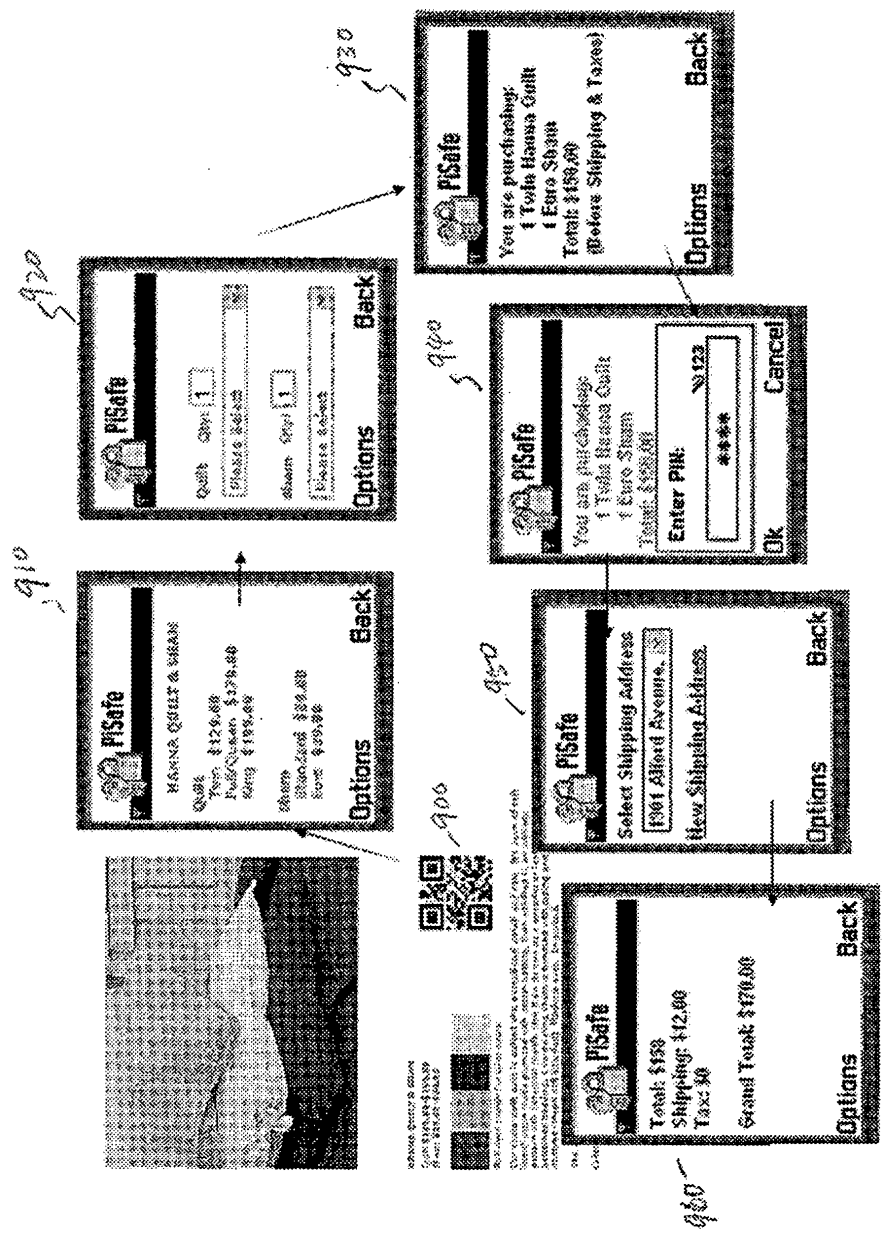
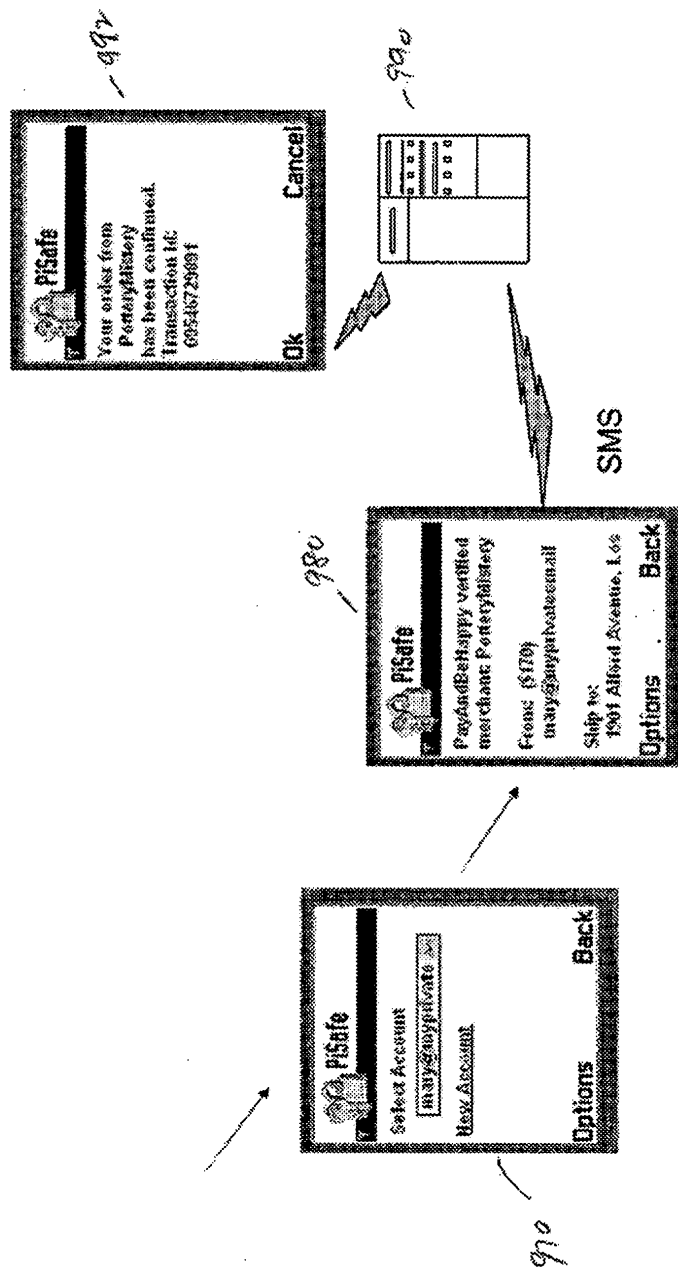
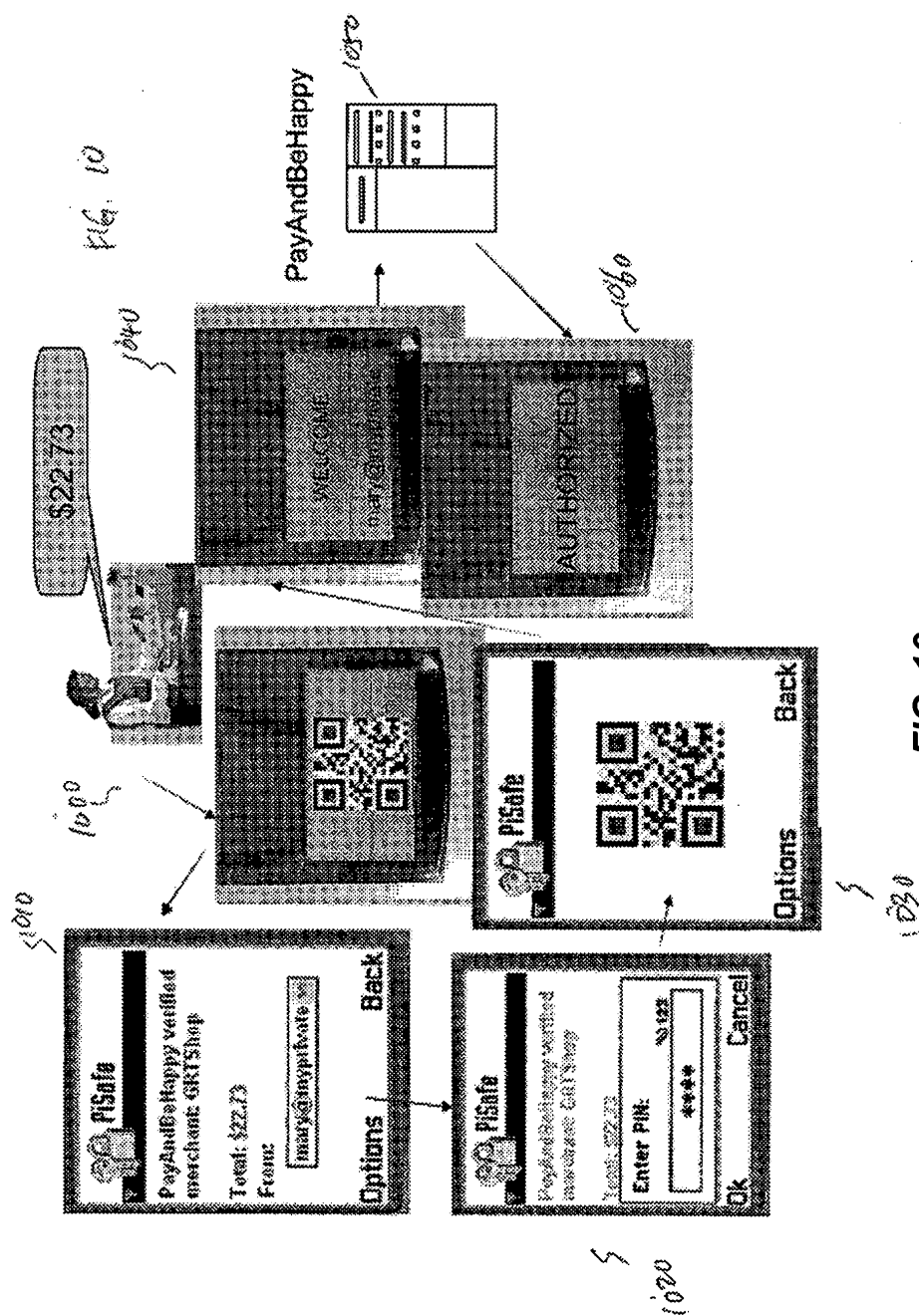


FIG. 9





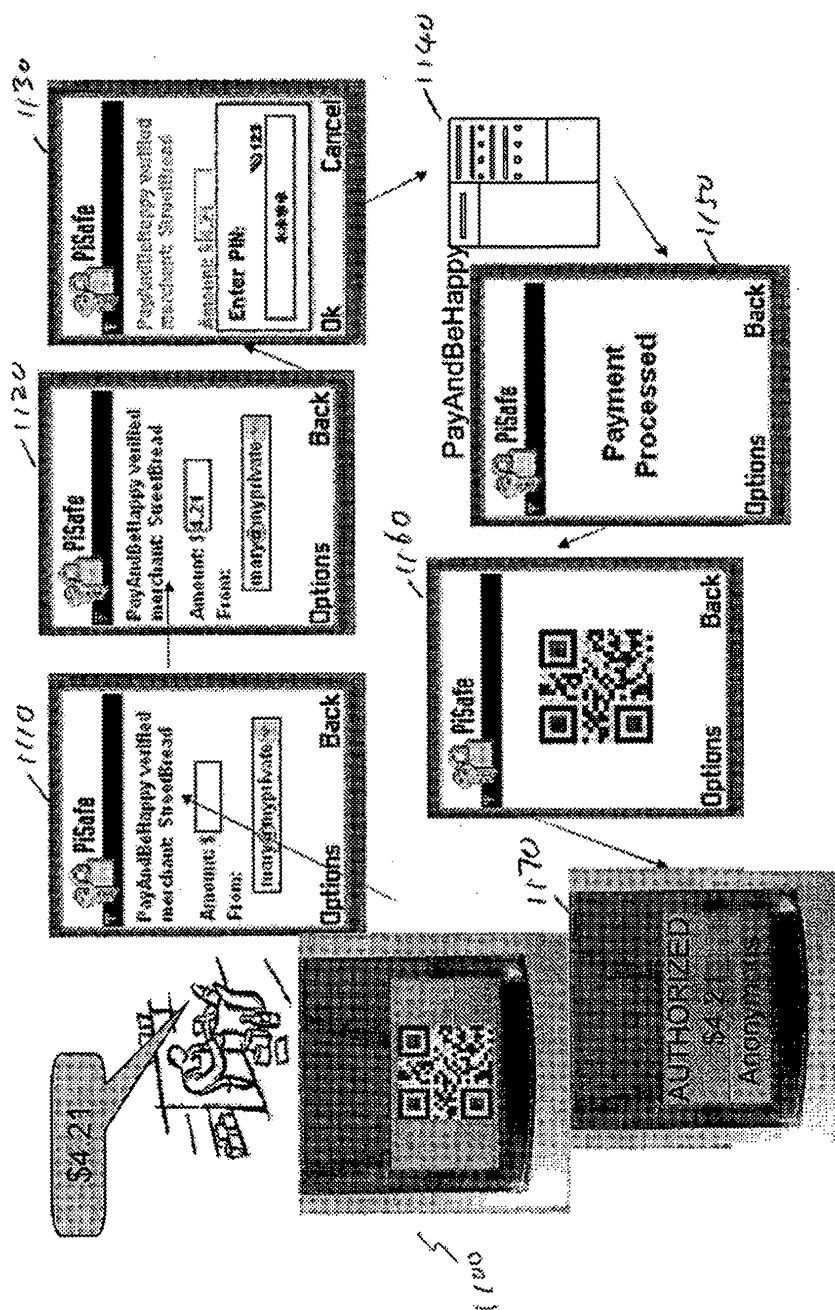


FIG. 11

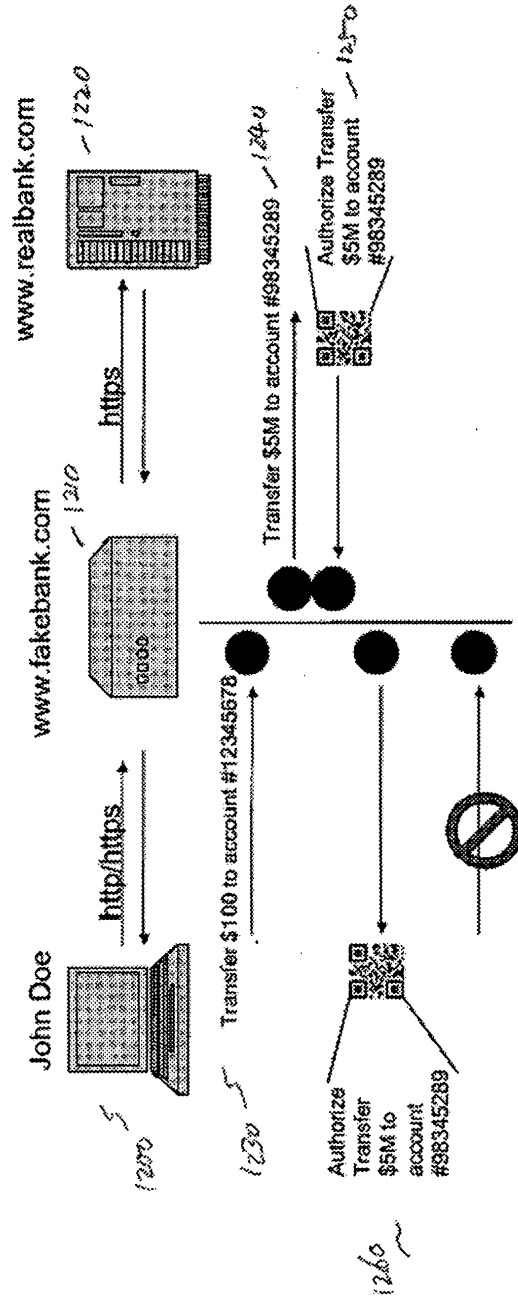


FIG. 12

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DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)

☒ Declaration Submitted With Initial Filing

OR

☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number073187-0012

First Named InventorHan Kilicote

COMPLETE IF KNOWN

Application Number

Filing Date

Art UnitUnassigned

Examiner NameUnassigned

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?
			YES	NO
			☐	☐
			☐	☐
			☐	☐
			☐	☐

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]
This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 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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NAME OF SOLE OR FIRST INVENTOR:		☐ A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])		Family Name or Surname		
Han		Kilicote		
Inventor's Signature		Date		
		3/8/2005		
Residence: City	State	Country	Citizenship	
Los Altos	California	US	US	
Mailing Address				
1901 Alford Avenue				
City	State	Zip	Country	
Los Altos	California	94024	US	
NAME OF SECOND INVENTOR:		☐ A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])		Family Name or Surname		
Inventor's Signature		Date		
Residence: City	State	Country	Citizenship	
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☐ Additional inventors or a legal representative are being named on the supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.				

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PATENT APPLICATION SERIAL NO. _____

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03/11/2005 SDIRETA1 00000080 502203 11075493
01 FC:2011 150.00 DA
02 FC:2111 250.00 DA
03 FC:2311 100.00 DA
04 FC:2202 675.00 DA

PTO-1556
(5/87)

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PATENT APPLICATION FEE DETERMINATION RECORD

Effective December 8, 2004

11075493

CLAIMS AS FILED - PART I

	(Column 1)	(Column 2)
TOTAL CLAIMS	47	
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	47 minus 20 =	27
INDEPENDENT CLAIMS	2 minus 3 =	
MULTIPLE DEPENDENT CLAIM PRESENT ☐		

* If the difference in column 1 is less than zero, enter "0" in column 2

CLAIMS AS AMENDED - PART II

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	*	Minus **	=
Independent	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM ☐			

25

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	*	Minus **	=
Independent	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM ☐			

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	*	Minus **	=
Independent	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM ☐			

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

SMALL ENTITY TYPE ☐

RATE	FEE
BASIC FEE	150.00
X\$ 25=	675
X100=	
+180=	
TOTAL	

OTHER THAN SMALL ENTITY

RATE	FEE
BASIC FEE	300.00
X\$50=	
X200=	
+360=	
TOTAL	

SMALL ENTITY

RATE	ADDITIONAL FEE
X\$ 25=	
X100=	
+180=	
TOTAL	

OTHER THAN SMALL ENTITY

RATE	ADDITIONAL FEE
X\$50=	
X200=	
+360=	
TOTAL	

RATE	ADDITIONAL FEE
X\$ 25=	
X100=	
+180=	
TOTAL	

RATE	ADDITIONAL FEE
X\$50=	
X200=	
+360=	
TOTAL	

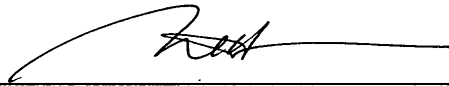
RATE	ADDITIONAL FEE
X\$ 25=	
X100=	
+180=	
TOTAL	

RATE	ADDITIONAL FEE
X\$50=	
X200=	
+360=	
TOTAL	

NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)	First Named Inventor		Han Kiliccote
	Title	METHOD AND APPARATUS FOR PROVIDING SECURE IDENTIFICATION, VERIFICATION AND AUTHORIZATION	
	Attorney Docket Number		073187-0012

I hereby 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 agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).



Signature

3/8/05

Date

Horace H. Ng

Typed or printed name

(650) 813-5000

Telephone Number

39,315

Registration Number, if applicable

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

This collection of information is required by 37 CFR 1.213(a). 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 6 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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