UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF CORRECTION

PATENT NO.	: 8,391,834 B2
APPLICATION NO.	: 12/694445
DATED	: March 5, 2013
INVENTOR(S)	: Raleigh

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

In the Claims

Column 25, line 36 claim 52 the phrase "wherein first service profile" should be changed to --wherein the first service profile--.

Signed and Sealed this
Thirteenth Day of May, 2014

Michelle K. Lee

Michelle K. Lee
Deputy Director of the United States Patent and Trademark Office

SAMSUNG 1034

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Title:
Gregory G. Raleigh	Security Techniques for Device Assisted Services
Application Serial No. 12/694,445	Patent No. 8,391,834
Filing Date: January 27, 2010	Issue Date: March 5, 2013

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

MISCELLANEOUS COMMUNICATION REGARDING CERTIFICATE OF CORRECTION

Madam:

Applicant/Patentee (hereinafter, "Applicant") respectfully requests that the Office issue a Certificate of Correction for U.S. Patent No. 8,391,834 to correct a typographical error in claim 52. The error being corrected is Applicant's error.

In Applicant's October 15, 2012 amendment, claim 52 recites:

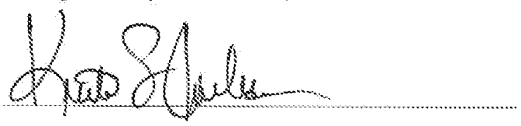
> 52. (New) The system recited in claim 1, wherein the service is associated with a particular quality of service (QOS), and wherein first service profile assists in providing the service with the particular QOS.

Claim 52 is missing the word "the" before "first service profile." The issued patent accurately reflects claim 52 of Applicant's October 15, 2013 amendment.

Applicant respectfully requests issuance of the Certificate of Correction to correct the typographical error in claim 52. Because the error in claim 52 was Applicant's error, Applicant is submitting the requisite fee for the Certificate of Correction. The Office is hereby authorized

to charge any additional fee required or credit any overpayment to Deposit Account No. **50-5876**.

Respectfully submitted,

Date: March 11, 2014 By: 

Krista S. Jacobsen
Reg. No. 59,374
(408) 455-5539

CERTIFICATE OF ELECTRONIC TRANSMISSION

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

Date: March 11, 2014 By: 
Krista S. Jacobsen

PTO/SB/44 (09-07)
Approved for use through 08/31/2013. OMB 0651-0033
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.
(Also Form PTO-1050)

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO. : 8,391,834

APPLICATION NO.: 12/694,445

ISSUE DATE : March 5, 2013

INVENTOR(S) : Gregory G. Raleigh

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

In column 25, line 36 (the third line of claim 52), the phrase "wherein first service profile" should be changed to --wherein the first service profile--.

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

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

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

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

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:

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

Electronic Patent Application Fee Transmittal	
Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Filed as Small Entity	

Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Certificate of Correction	1811	1	100	100
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
			Total in USD ($)	**100**

Electronic Acknowledgement Receipt	
EFS ID:	18430216
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen
Filer Authorized By:	
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	11-MAR-2014
Filing Date:	27-JAN-2010
Time Stamp:	12:28:00
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$100
RAM confirmation Number	11444
Deposit Account	505876
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Certificate of Correction	P025CoC_req.pdf	399716 1a22e6dd7730c7bb665959e0a761cd09915820b2	no	4
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30387 70ac2c674a8d33182083f03235df4b7f0d9d2b7d	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	430103		

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

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

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

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

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APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	03/05/2013	8391834	RALEP025 [26WV-160502]	6030

107265 7590 02/13/2013

Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

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

The Patent Term Adjustment is 316 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Application Assistance Unit (AAU) of the Office of Data Management (ODM) at (571)-272-4200.

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

Gregory G. Raleigh, Woodside, CA;

The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The USA offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to encourage and facilitate business investment. To learn more about why the USA is the best country in the world to develop technology, manufacture products, and grow your business, visit SelectUSA.gov.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025 [26WV-160502]	6030

107265 7590 02/06/2013

Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

EXAMINER	
RUDY, ANDREW J	

ART UNIT	PAPER NUMBER
3687	

NOTIFICATION DATE	DELIVERY MODE
02/06/2013	ELECTRONIC

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

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

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

patent@headwaterllc.com

UNITED STATES DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office
Address : COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450

APPLICATION NO./ CONTROL NO.	FILING DATE	FIRST NAMED INVENTOR / PATENT IN REEXAMINATION	ATTORNEY DOCKET NO.
12/694,445	27 January, 2010	RALEIGH, GREGORY G.	RALEP025 [26WV-160502]

		EXAMINER	
Headwater Partners I LLC - Outside Firm 1 350 Marine Parkway, Suite 300 Redwood Shores, CA 94065		ANDREW JOSEPH RUDY	
		ART UNIT	PAPER
		3687	20130130

DATE MAILED:

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

Commissioner for Patents

Applicant's Information Disclosure Statement (IDS) submitted January 22, 2013 has an inadvertant error that is being corrected via this communication. From "Cite No 1" the "Publication Number" listed as "US2009-0307" has been crossed out. See the attached IDS. the "Cite No 1" entry has now been corrected to read: US2009-0307746. See the attached PTO-892.

Applicant's counsel, Krista Jacobsen (Reg. No. 59,374) was made aware of such on January 30, 2013.

/ANDREW JOSEPH RUDY/
Primary Examiner
Art Unit: 3687

PTO-90C (Rev.04-03)

Notice of References Cited	Application/Control No. 12/694,445	Applicant(s)/Patent Under Reexamination RALEIGH, GREGORY G.	
	Examiner ANDREW JOSEPH RUDY	Art Unit 3687	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2009/0307746	12-2009	DI et al.	726/1
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	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					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

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

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

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

PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

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

Application Number	12694445
Filing Date	2010-01-27
First Named Inventor	Raleigh, Gregory G.
Art Unit	3687
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	RALEP025

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
/A.R./	1	8291238		2012-10-16	Ginter, Karl L. et al.	
/A.R./	2	8068824		2011-11-29	Shan, Xueshan et al.	
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/A.R./	7	7844728		2010-11-30	Anderson, Thomas W. et al.	
/A.R./	8	7873344		2011-01-18	Bowser, Robert et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

/A.R./	9	7856226		2010-12-21	Wong, Ellis L. et al.	

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

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	~~US2009-0307~~		~~2009-12-10~~	~~Di, Jinwen et al.~~	

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

FOREIGN PATENT DOCUMENTS

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

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

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

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature	/Andrew Joseph Rudy/	Date Considered	01/30/2013

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

EFS Web 2.1.17

PTO/SB/08 (08-03)

Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	2	of	4	Atty Docket No.	RALEP025

	OO.	US 2007/0140275	06-21-2007	BOWMAN et al.	
	PP.	US 2003/0182435	09-25-2003	REDLICH et al.	
	QQ.	US 6,263,055	07-17-2001	GARLAND et al.	
	RR.	US 5,940,472	08-17-1999	NEWMAN et al.	
	SS.	US 2008/0318550	12-25-2008	Deatley	
	TT.	US 2008/0298230	12-01-2008	LUFT et al.	
	UU.	US 2007/0220251	09-20-2007	ROSENBERG et al.	
	VV.	US 2007/0100981	05-03-2007	ADAMCZYK et al.	
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	XX.	US 2008/0095339	04-24-2008	ELLIOTT et al.	
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	III.	US 2005/0055309	03-10-2005	WILLIAMS et al.	
	JJJ.	US 2003/0050837	03-13-2003	Kim	
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	LLL.	US ~~2006/0178917~~	08-10-2006	Mikurak	20060178918
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	UUU.	US 2006/0072646	04-06-2006	FEHER et al.	
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	WWW.	US 2005/0060266	03-17-2005	DEMELLO et al.	
	XXX.	US 6,047,268	04-04-2000	BARTOLI et al.	
	YYY.	US 6,639,975	10-28-2003	O'NEAL et al.	
	ZZZ.	US 6,539,082	03-25-2003	LOWE et al.	
	AAAA.	US 2008/0134330	06-05-2008	KAPOOR et al.	
	BBBB.	US 2004/0047358	03-11-2004	CHEN et al.	
	CCCC.	US 2007/0274327	11-29-2007	KAARELA et al.	
	DDDD.	US 2003/0161265	08-28-2003	CAO et al.	

Change(s) applied to document, /A.J.P./ 1/15/2013

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

PTO/SB/08 (08-03)

Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	3	of	4	Atty Docket No.	RALEP025

	EEEE.	US 2008/0305793	12-11-2008	GALLAGHER et al.	
	FFFF.	US 2008/0083013	04-03-2008	SOLIMAN et al.	
	GGGG.	US 2004/0030705	02-12-2004	BOWMAN-AMUAH et al.	
	HHHH.	US 6,574,321	06-03-2003	COX et al.	
	IIII.	US 2006/0291477	12-28-2006	CROAK et al.	
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	SSSS.	US 6,996,076	02-07-2006	FORBES et al.	
	TTTT.	~~US 2008/0183~~	07-31-2008	PAUL et al.	20080183812
	UUUU.	US 2007/0226225	09-27-2007	YIU et al.	
	VVVV.	US 2007/0130315	06-07-2007	FRIEND et al.	
	WWWW.	US 2008/0059743	03-06-2008	BYCHKOV et al.	
	XXXX.	US 2008/0132268	06-05-2008	CHOI-GROGAN et al.	
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	ZZZZ.	US 2005/0128967	06-16-2005	Scobbie	
	AAAAA.	US 2007/0140113	06-21-2007	Gemelos	
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Change(s) applied to document,
/A.J.P./
1/16/2013

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025 [26WV-160502]	6030

107265 7590 01/22/2013

Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

EXAMINER	
RUDY, ANDREW J	

ART UNIT	PAPER NUMBER
3687	

NOTIFICATION DATE	DELIVERY MODE
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APPLICATION NO./ CONTROL NO.	FILING DATE	FIRST NAMED INVENTOR / PATENT IN REEXAMINATION	ATTORNEY DOCKET NO.
12/694,445	27 January, 2010	RALEIGH, GREGORY G.	RALEP025 [26WV-160502]

Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

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ANDREW JOSEPH RUDY	
ART UNIT	PAPER
3687	20130116

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Applicant's Information Disclosure Statements (IDS's) submitted January 7 & 8, 2013 have been reviewed. Note the attached IDS's.

/ANDREW JOSEPH RUDY/
Primary Examiner
Art Unit: 3687

PTO-90C (Rev.04-03)

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

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

Application Number	12694445
Filing Date	2010-01-27
First Named Inventor	Raleigh, Gregory G.
Art Unit	3687
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	RALEP025

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	8291238		2012-10-16	Ginter, Karl L. et al.	
	2	8068824		2011-11-29	Shan, Xueshan et al.	
	3	7228354		2007-06-05	Chambliss, David Darden et al.	
	4	5283904		1994-02-01	Carson, David G. et al.	
	5	8208919		2012-06-26	Kotecha, Lalit Ratilal	
	6	8185152		2012-05-22	Goldner, Alla	
	7	7844728		2010-11-30	Anderson, Thomas W. et al.	
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	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	9	7856226		2010-12-21	Wong, Ellis L. et al.	

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Doc code: IDS
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Ann Taylor	(Depositor's name)
	(Signature)
January 9, 2013	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025 [26WV-160502]	6030

TITLE OF INVENTION: SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1770	$300	$0	$2070	04/01/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
RUDY, ANDREW J	3687	705-030000

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1 Krista S. Jacobsen
2 Sheppard, Mullin, Richter & Hampton LLP
3

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In re Application of:	Examiner:
Gregory G. Raleigh	Andrew J. Rudy
Serial No. 12/694,445	Art Unit: 3687
Filed: January 27, 2010	Conf. No.: 6030

Title: Security Techniques for Device Assisted Services

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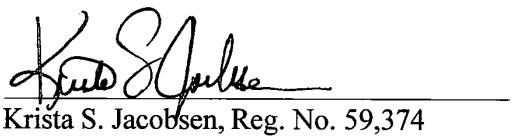
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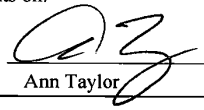
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Electronic Patent Application Fee Transmittal

Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen/Ann Taylor
Attorney Docket Number:	RALEP025 [26WV-160502]

Filed as Small Entity

Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
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Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Utility Appl issue fee	2501	1	885	885
Publ. Fee- early, voluntary, or normal	1504	1	300	300

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Extension-of-Time:				
Miscellaneous:				
		Total in USD ($)		**1185**

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EFS ID:	14658516
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
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Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	09-JAN-2013
Filing Date:	27-JAN-2010
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First Named Inventor	Raleigh, Gregory G.
Art Unit	3687
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	RALEP025

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	Art Unit	3687
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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

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

OR

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

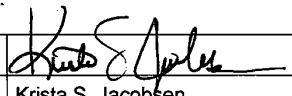
☐ See attached certification statement.

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

☐ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-01-08
Name/Print	Krista S. Jacobsen	Registration Number	59374

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

Electronic Acknowledgement Receipt

EFS ID:	14647851
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	08-JAN-2013
Filing Date:	27-JAN-2010
Time Stamp:	20:54:31
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	P025Letter.pdf	405780 7fd686557a1b9fb685266b76e1ee9e7ac0c4bbba	no	2

Warnings:	
Information:	

2	Information Disclosure Statement (IDS) Form (SB08)	P025IDS.pdf	803994 cf8a834694a30b3b115c78ac89343a5c38fbd592	no	4
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
			Total Files Size (in bytes):	1209774	

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

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

National Stage of an International Application under 35 U.S.C. 371
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New International Application Filed with the USPTO as a Receiving Office
If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Raleigh	Examiner:	RUDY, Andrew J.
Serial No.:	12/694,445	Art Unit:	3687
Filed:	January 27, 2010	Conf. No.:	6030
Title:	Security Techniques for Device Assisted Services		

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

SUBMISSION OF CORRECTED INFORMATION DISCLOSURE STATEMENT

Sir:

On January 7, 2013, Applicant submitted an information disclosure statement (IDS) in the above-referenced application. The IDS was submitted after Applicant received a Notice of Allowance, and, therefore, under 37 C.F.R. § 1.97(d), Applicant was required to submit the fee set forth in 37 C.F.R. § 1.17(p) and the statement specified in 37 C.F.R. § 1.97(e)(1) or 1.97(e)(2).

Applicant submitted both the fee and a certification statement with the IDS filed on January 7, 2013. Although Applicant intended to submit the certification statement specified in 37 C.F.R. § 1.97(e)(2), Applicant inadvertently submitted the certification statement specified in 37 C.F.R. § 1.97(e)(1).

The IDS submitted herewith provides the certification statement specified in 37 C.F.R. § 1.97(e)(2). This IDS is offered to replace the IDS submitted on January 7, 2013. Because the corrected IDS is being filed before payment of the issue fee, Applicant respectfully requests consideration of the corrected IDS.

CONCLUSION

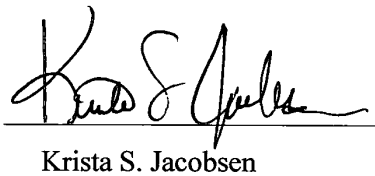
Applicant is submitting a corrected IDS, containing the certification statement specified in 37 C.F.R. § 1.97(e)(2), to replace the IDS filed on January 7, 2013, in which Applicant inadvertently submitted the certification statement specified in 37 C.F.R. § 1.97(e)(1). Because the corrected IDS is being filed before payment of the issue fee, Applicant respectfully requests consideration of the corrected IDS.

If the Examiner has any questions or needs any additional information, the Examiner is invited to contact the undersigned.

The Commissioner is authorized to charge any fee deficiency or credit any overpayment to Deposit Account 50-5876.

Respectfully submitted,

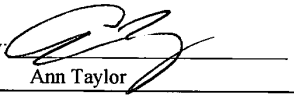
Date: January 8, 2013

By: 

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

CERTIFICATE OF ELECTRONIC TRANSMISSION

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

Date: Jan. 8, 2013 By: 
Ann Taylor

Electronic Patent Application Fee Transmittal	
Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen/Ann Taylor
Attorney Docket Number:	RALEP025 [26WV-160502]
Filed as Large Entity	

Utility under 35 USC 111(a) Filing Fees

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

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
		Total in USD ($)		**180**

Electronic Acknowledgement Receipt	
EFS ID:	14647871
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	08-JAN-2013
Filing Date:	27-JAN-2010
Time Stamp:	20:59:28
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$180
RAM confirmation Number	6519
Deposit Account	505876
Authorized User	

File Listing:

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

1	Fee Worksheet (SB06)	fee-info.pdf	30549 5f572782bce3554a138194a41fdbbf3f234a180d	no	2
Warnings:					
Information:					
			Total Files Size (in bytes):	30549	

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

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

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

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

Application Number	12694445
Filing Date	2010-01-27
First Named Inventor	Raleigh, Gregory G.
Art Unit	3687
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	RALEP025

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	8291238		2012-10-16	Ginter, Karl L. et al.	
	2	8068824		2011-11-29	Shan, Xueshan et al.	
	3	7228354		2007-06-05	Chambliss, David Darden et al.	
	4	5283904		1994-02-01	Carson, David G. et al.	
	5	8208919		2012-06-26	Kotecha, Lalit Ratilal	
	6	8185152		2012-05-22	Goldner, Alla	
	7	7844728		2010-11-30	Anderson, Thomas W. et al.	
	8	7873344		2011-01-18	Bowser, Robert et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	9	7856226		2010-12-21	Wong, Ellis L. et al.	

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

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	US2009-0307		2009-12-10	DI, Jinwen et al.	

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

FOREIGN PATENT DOCUMENTS

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

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

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

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

EFS Web 2.1.17

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

CERTIFICATION STATEMENT

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

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

OR

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

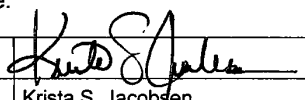
☐ See attached certification statement.

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

☐ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2013-01-07
Name/Print	Krista S. Jacobsen	Registration Number	59374

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

Electronic Patent Application Fee Transmittal	
Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen/Ann Taylor
Attorney Docket Number:	RALEP025 [26WV-160502]
Filed as Large Entity	

Utility under 35 USC 111(a) Filing Fees

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

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
		Total in USD ($)		**180**

Electronic Acknowledgement Receipt	
EFS ID:	14634585
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	07-JAN-2013
Filing Date:	27-JAN-2010
Time Stamp:	17:18:57
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$180
RAM confirmation Number	4666
Deposit Account	505876
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees) Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)	

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

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

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

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025IDS.pdf	816818 2d0231810a8ce71fc667abcf713c7efb1549ad0b	no	4
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
2	Fee Worksheet (SB06)	fee-info.pdf	30552 36b8d26849a6485f08fd22bab8ec95b04e1e156a	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	847370		

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.

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UNITED STATES PATENT AND TRADEMARK OFFICE

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

NOTICE OF ALLOWANCE AND FEE(S) DUE

107265 7590 12/31/2012
Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

EXAMINER	
RUDY, ANDREW J	
ART UNIT	PAPER NUMBER
3687	

DATE MAILED: 12/31/2012

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025 [26WV-160502]	6030

TITLE OF INVENTION: SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1770	$300	$0	$2070	04/01/2013

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

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

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

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

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

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

PART B - FEE(S) TRANSMITTAL

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

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

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

107265 7590 12/31/2012
Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

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

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

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025 [26WV-160502]	6030

TITLE OF INVENTION: SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1770	$300	$0	$2070	04/01/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
RUDY, ANDREW J	3687	705-030000

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

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

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

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

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

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

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

4b. Payment of Fee(s): (**Please first reapply any previously paid issue fee shown above**)
- ❑ A check is enclosed.
- ❑ Payment by credit card. Form PTO-2038 is attached.
- ❑ The Director is hereby authorized to charge the required fee(s), any deficiency, or 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.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025 [26WV-160502]	6030

107265 7590 12/31/2012

Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

EXAMINER	
RUDY, ANDREW J	

ART UNIT	PAPER NUMBER
3687	

DATE MAILED: 12/31/2012

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 295 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 295 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.

Privacy Act Statement

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

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

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

Notice of Allowability	Application No.	Applicant(s)	
	12/694,445	RALEIGH, GREGORY G.	
	Examiner	Art Unit	
	ANDREW JOSEPH RUDY	3687	

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

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

1. ☒ This communication is responsive to *the 15 October 2012 Amendment*.

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

3. ☒ The allowed claim(s) is/are *1-62*. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov .

4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
   a) ☐ All b) ☐ Some* c) ☐ None of the:
      1. ☐ Certified copies of the priority documents have been received.
      2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
      3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____.

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

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

   Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

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

DETAILED ACTION

1. Applicant's Information Disclosure Statements (IDS's) submitted August 13, 2012; October 10, 2012 and December 4, 2012 have been reviewed.

Allowable Subject Matter

2. Claims 1-62 are allowed.

3. The following is an examiner's statement of reasons for allowance:

Pursuant to Applicant's October 15, 2012 Amendment and REMARKS, claims 1-62 are allowed, as the prior art of record neither discloses nor suggests Applicant's claim language.

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

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

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

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

/ANDREW JOSEPH RUDY/

Primary Examiner, Art Unit 3687

Issue Classification	Application/Control No.	Applicant(s)/Patent under Reexamination	
	12/694,445	RALEIGH, GREGORY G.	
	Examiner	Art Unit	
	ANDREW JOSEPH RUDY	3687	

ISSUE CLASSIFICATION

ORIGINAL			CROSS REFERENCE(S)						
CLASS	SUBCLASS	CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)						
455	407	455	414.1	456.1					
INTERNATIONAL CLASSIFICATION		705	34						
H 04 M	11/00								
H 04 M	15/00								
	/								
	/								
	/								

XXXXXXXXXXXXXXXXXXX (Assistant Examiner) (Date)		Total Claims Allowed: 62
(Legal Instruments Examiner) (Date)	/Andrew Joseph Rudy/ 12/18/2012 (Primary Examiner) (Date)	O.G. Print Claim(s): 1 / O.G. Print Fig.: 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
1	1	31	31	61	61		91		121		151		181
2	2	32	32	62	62		92		122		152		182
3	3	33	33		63		93		123		153		183
4	4	34	34		64		94		124		154		184
5	5	35	35		65		95		125		155		185
6	6	36	36		66		96		126		156		186
7	7	37	37		67		97		127		157		187
8	8	38	38		68		98		128		158		188
9	9	39	39		69		99		129		159		189
10	10	40	40		70		100		130		160		190
11	11	41	41		71		101		131		161		191
12	12	42	42		72		102		132		162		192
13	13	43	43		73		103		133		163		193
14	14	44	44		74		104		134		164		194
15	15	45	45		75		105		135		165		195
16	16	46	46		76		106		136		166		196
17	17	47	47		77		107		137		167		197
18	18	48	48		78		108		138		168		198
19	19	49	49		79		109		139		169		199
20	20	50	50		80		110		140		170		200
21	21	51	51		81		111		141		171		201
22	22	52	52		82		112		142		172		202
23	23	53	53		83		113		143		173		203
24	24	54	54		84		114		144		174		204
25	25	55	55		85		115		145		175		205
26	26	56	56		86		116		146		176		206
27	27	57	57		87		117		147		177		207
28	28	58	58		88		118		148		178		208
29	29	59	59		89		119		149		179		209
30	30	60	60		90		120		150		180		210

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

PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99**)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	7609700		2009-10-27	Ying, Wen-Ping et al.	
	2	8255515		2012-08-28	Melman, David et al.	
	3	7945240		2011-05-17	Klock, Jacqueline et al.	
	4	7912056		2011-03-22	Brassem, Wayne	
	5	7920529		2011-04-05	Mahler, Roger et al.	
	6	8184530		2012-05-22	Swan, Tim L. et al.	
	7	8213363		2012-07-03	Ying, Wen-Ping et al.	
	8	8214536		2012-07-03	Zhao, Wen	

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

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	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	9	8255689		2012-08-28	Kim, Eun Ah et al.	
	10	7746854		2010-06-29	Ambe, Shekhar et al.	
	11	7068600		2006-06-27	Cain, Joseph Bibb	
	12	6876653		2005-04-05	Ambe, Shekhar et al.	
	13	6631122		2003-10-07	Arunachalam, Vaidhyanathan et al.	
	14	7599288		2009-10-06	Cole, Raymond E. et al.	
	15	7546629		2009-06-09	Albert, Anthony et al.	
	16	7747730		2010-06-29	Harlow, James D.	
	17	7609650		2009-10-27	Roskowski, Steve et al.	
	18	6581092		2003-06-17	Motoyama, Tetsuro et al.	
	19	7283963		2007-10-16	Fitzpatrick, John E. et al.	

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

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	20	8271049		2012-09-18	Silver, Andrew et al.	
	21	7644151		2010-01-05	Jerrim, John et al.	

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

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20080085707		2008-04-10	Fadell, Tony	
	2	20090046723		2009-02-19	Rahman, Reshad A. et al.	
	3	20080219268		2008-09-11	Dennison, Larry R.	
	4	20080005285		2008-01-03	Robinson, James David et al.	
	5	20090315735		2009-12-24	Bhavani, Neeraj S. et al.	
	6	20090219170		2009-09-03	Clark, Ryan C. et al.	
	7	20090067372		2009-03-12	Shah, Keyur C. et al.	

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	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	8	20080262798		2008-10-23	KIM, Eun Ah et al.	
	9	20100103820		2010-04-29	FULLER, Randy et al.	
	10	20100153781		2010-06-17	HANNA, Stephen R.	

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

FOREIGN PATENT DOCUMENTS

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

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

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

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EXAMINER SIGNATURE

Examiner Signature	/Andrew Joseph Rudy/	Date Considered	12/18/2012

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

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

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

PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6502131		2002-12-31	Vaid, Aseem et al.	
	2	6505114		2003-01-07	Luciani, Sergio	
	3	6763000		2004-07-13	Walsh, Peter J.	
	4	6967958		2005-11-22	Ono, Yoshiyuki et al.	
	5	7644267		2010-01-05	Ylikoski, Martti et al.	
	6	7710932		2010-05-04	Muthuswamy, Sivakumar et al.	
	7	7881199		2011-02-01	Krstulich, Zlatko	
	8	7886047		2011-02-08	Potluri, Dora	

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

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	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	9	7911975		2011-03-22	Droz, Patrick et al.	
	10	8050275		2011-11-01	Iyer, Jayaraman R.	
	11	8194553		2012-06-05	Liang, Zhi Yong et al.	
	12	8239520		2012-08-07	Grah, Adrian et al.	
	13	7890084		2011-02-15	Dudziak, Thaddeus Jude et al.	
	14	7890111		2011-02-15	Bugenhagen, Michael K.|	
	15	6226277		2001-05-01	Chuah, Mooi Choo	
	16	6839340		2005-01-04	Voit, Eric A. et al.	
	17	6922562		2005-07-26	Ward, Stephen L. et al.	
	18	7620041		2009-11-17	Dunn, Jeffrey H. et al.	
	19	7627314		2009-12-01	Carlson, Steven I. et al.	

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

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	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	20	7792538		2010-09-07	Kozisek, Steven E.	
	21	7801523		2010-09-21	Kenderov, Stoyan	
	22	7877090		2011-01-25	Maes, Stephane H.	
	23	7912025		2011-03-22	Pattenden, Christopher E. S. et al.	
	24	7948968		2011-05-24	Voit, Eric A. et al.	
	25	7970426		2011-06-28	Poe, Brian R. et al.	
	26	8185158		2012-05-22	Tamura, Motoshi et al.	
	27	8254915		2012-08-28	Kozisek, Steven E.	
	28	7418257		2008-08-26	Kim, Myong-Ju	
	29	8126123		2012-02-28	Cai, Yigang et al.	
	30	7903553		2011-03-08	Liu, Enhui	

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

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	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	31	8155620		2012-04-10	Wang, Jun et al.	
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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
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[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

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

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	Filing Date	2010-01-27
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	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

CERTIFICATION STATEMENT

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

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

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

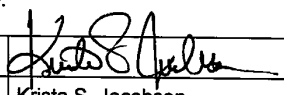
☐ See attached certification statement.

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

☐ None

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

Signature		Date (YYYY-MM-DD)	2012-12-04
Name/Print	Krista S. Jacobsen	Registration Number	59374

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

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Electronic Acknowledgement Receipt	
EFS ID:	14384310
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	04-DEC-2012
Filing Date:	27-JAN-2010
Time Stamp:	21:00:04
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	P025IDS.pdf	1144407 42847c057ecbadc7bf325b20679275a8ca2b5537	no	6

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New Applications Under 35 U.S.C. 111
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If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Raleigh	Examiner:	RUDY, Andrew J.
Serial No.:	12/694,445	Art Unit:	3687
Filed:	January 27, 2010	Conf. No.:	6030
Title:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		

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

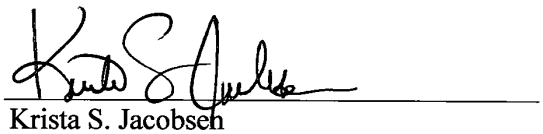
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Sir:

To improve drawing quality, please replace the originally filed drawing sheets with the eleven (11) replacement drawing sheets submitted herewith. The replacement drawing sheets, which fully comply with 37 CFR §§ 1.84 and 1.121(d), contain no substantive changes and introduce no new matter.

If the Examiner has any questions or needs any additional information, the Examiner is invited to contact the undersigned. The Commissioner is authorized to charge any fee deficiency or credit any overpayment to Deposit Account 50-5876.

Respectfully submitted,

Date: November 26, 2012 By: 

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

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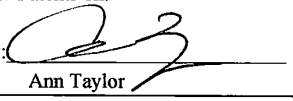
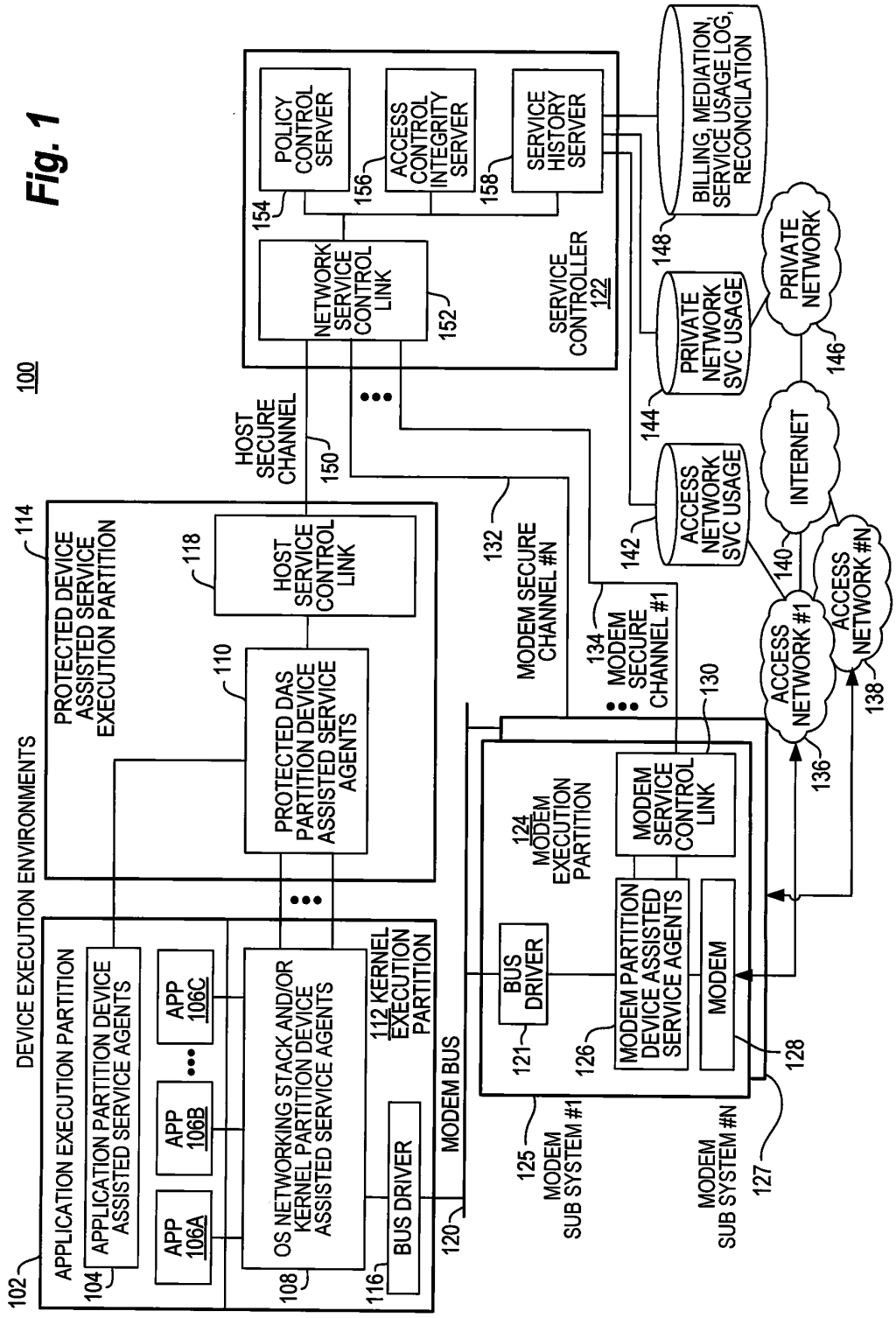
Date: Nov. 26, 2012 By: 
Ann Taylor

Fig. 1


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102
APPLICATION PARTITION DEVICE ASSISTED SERVICE AGENTS
104
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APP 106C
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116
112 KERNEL EXECUTION PARTITION
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120
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114
PROTECTED DAS PARTITION DEVICE ASSISTED SERVICE AGENTS
110
HOST SERVICE CONTROL LINK
118
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150
MODEM SECURE CHANNEL #N
132
MODEM SECURE CHANNEL #1
134
124 MODEM EXECUTION PARTITION
BUS DRIVER
121
MODEM PARTITION DEVICE ASSISTED SERVICE AGENTS
126
MODEM SERVICE CONTROL LINK
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MODEM
128
MODEM SUB SYSTEM #1
125
MODEM SUB SYSTEM #N
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POLICY CONTROL SERVER
154
ACCESS CONTROL INTEGRITY SERVER
156
SERVICE HISTORY SERVER
158
NETWORK SERVICE CONTROL LINK
152
BILLING, MEDIATION, SERVICE USAGE LOG, RECONCILIATION
148
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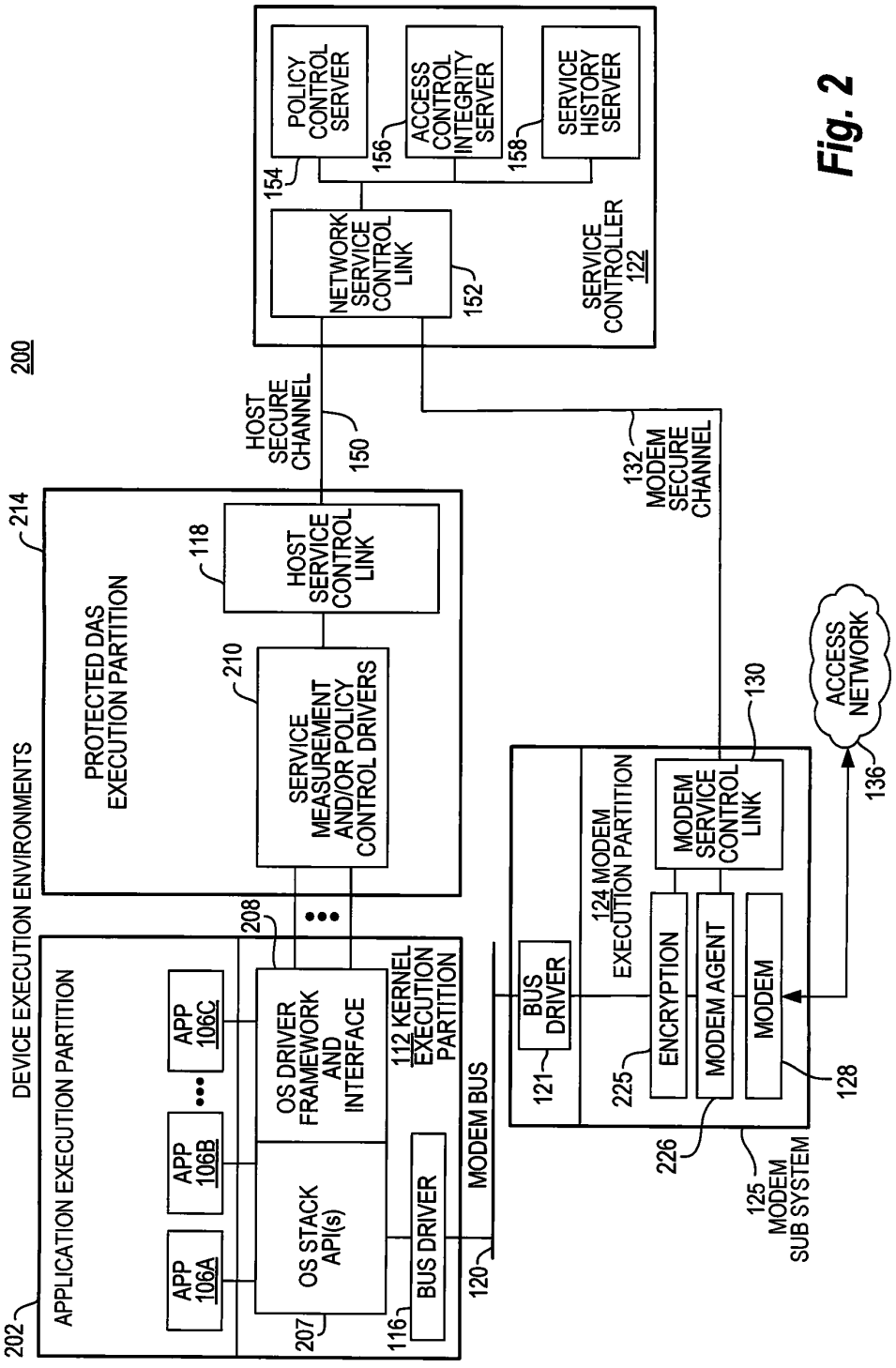

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APP 106B
APP 106C
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207
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SERVICE MEASUREMENT AND/OR POLICY CONTROL DRIVERS
210
HOST SERVICE CONTROL LINK
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ACCESS CONTROL INTEGRITY SERVER
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SERVICE HISTORY SERVER
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ACCESS NETWORK
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Fig. 2

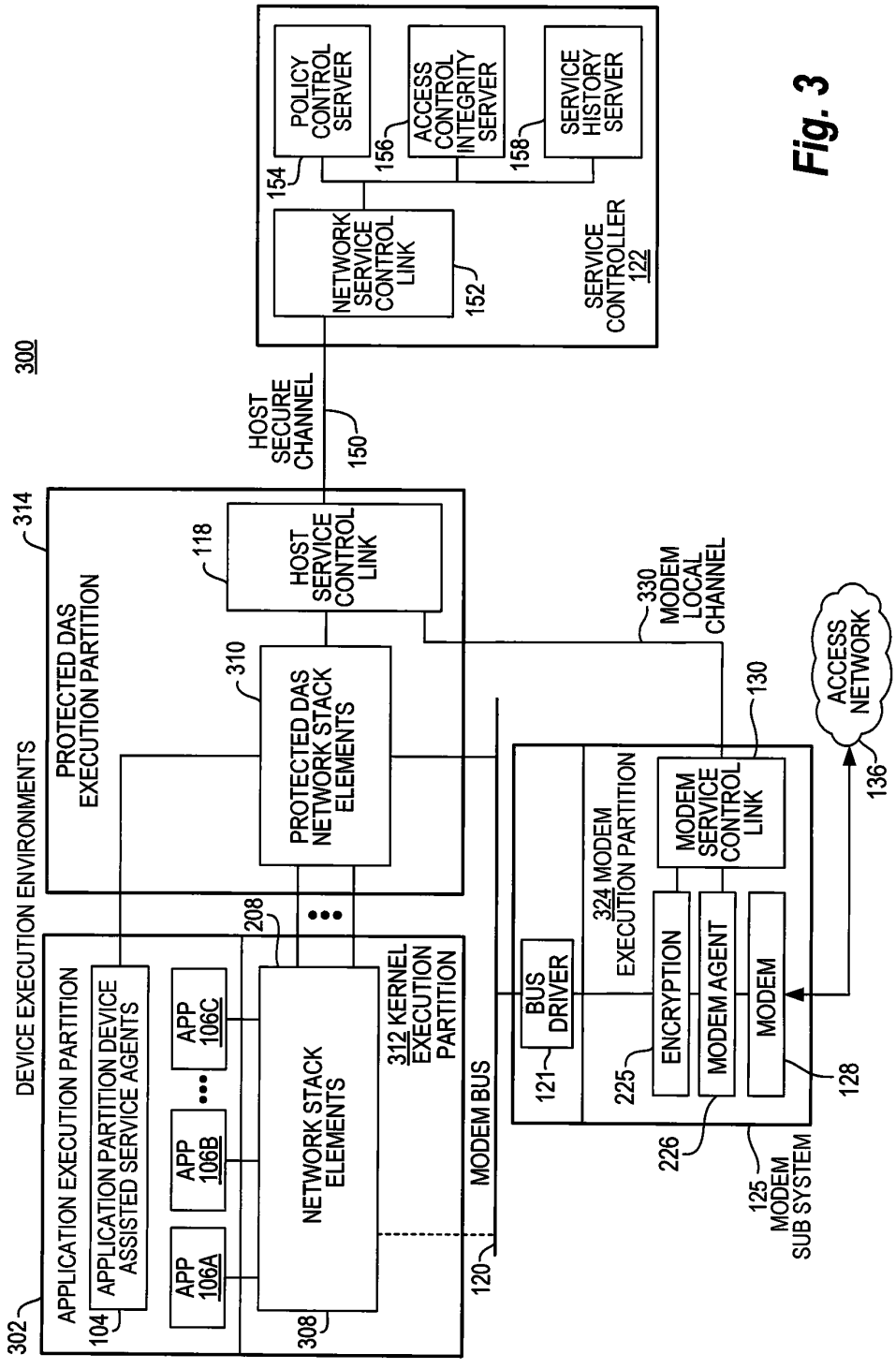
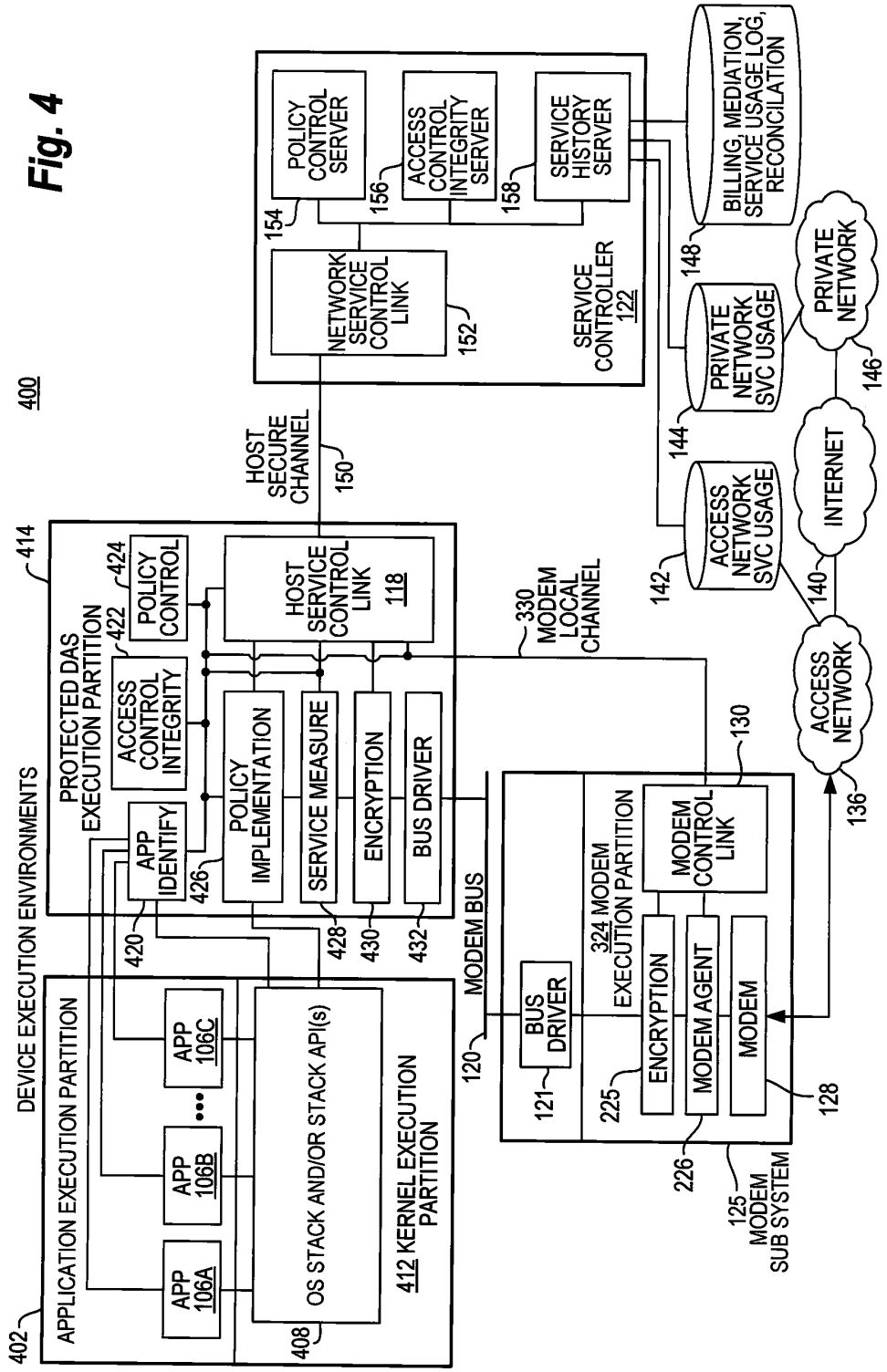

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BUS DRIVER
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MODEM
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MODEM SERVICE CONTROL LINK
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330 MODEM LOCAL CHANNEL
ACCESS NETWORK
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HOST SECURE CHANNEL
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NETWORK SERVICE CONTROL LINK
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POLICY CONTROL SERVER
154
ACCESS CONTROL INTEGRITY SERVER
156
SERVICE HISTORY SERVER
158

Fig. 3

Fig. 4


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APP 106A
APP 106B
APP 106C
OS STACK AND/OR STACK API(s)
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412 KERNEL EXECUTION PARTITION
PROTECTED DAS EXECUTION PARTITION
414
APP IDENTIFY
426
ACCESS CONTROL INTEGRITY
422
POLICY CONTROL
424
POLICY IMPLEMENTATION
SERVICE MEASURE
428
ENCRYPTION
430
BUS DRIVER
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420
MODEM BUS
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BUS DRIVER
121
324 MODEM EXECUTION PARTITION
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ENCRYPTION
MODEM AGENT
MODEM
226
125 MODEM SUB SYSTEM
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BILLING, MEDIATION, SERVICE USAGE LOG, RECONCILATION
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ACCESS NETWORK
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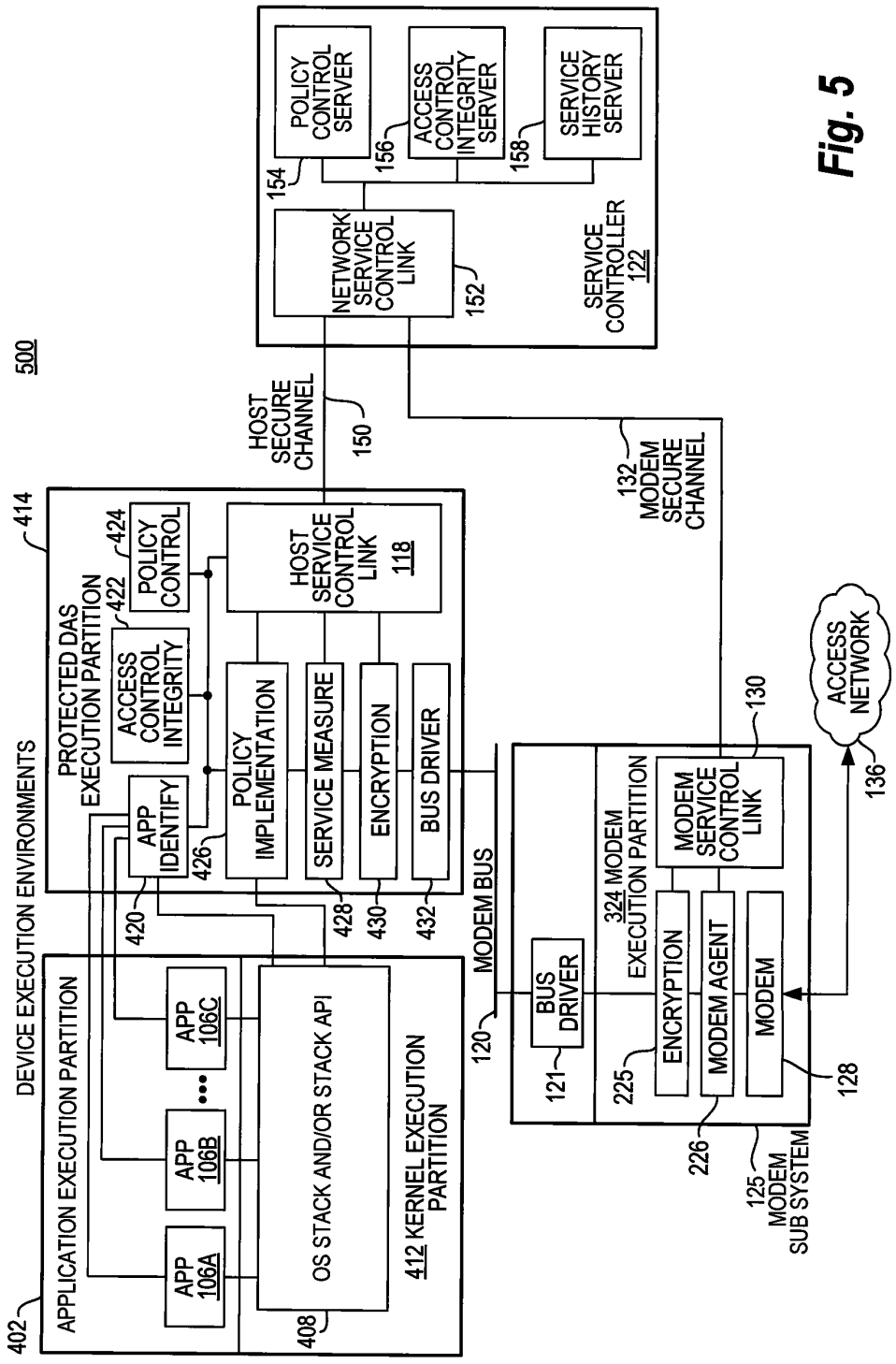

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APP 106B
APP 106C
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PROTECTED DAS EXECUTION PARTITION
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APP IDENTIFY
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ACCESS CONTROL INTEGRITY
422
POLICY CONTROL
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POLICY IMPLEMENTATION
SERVICE MEASURE
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ENCRYPTION
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BUS DRIVER
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BUS DRIVER
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MODEM
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HOST SECURE CHANNEL
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MODEM SECURE CHANNEL
132
SERVICE CONTROLLER 122
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ACCESS CONTROL INTEGRITY SERVER
156
SERVICE HISTORY SERVER
158

Fig. 5

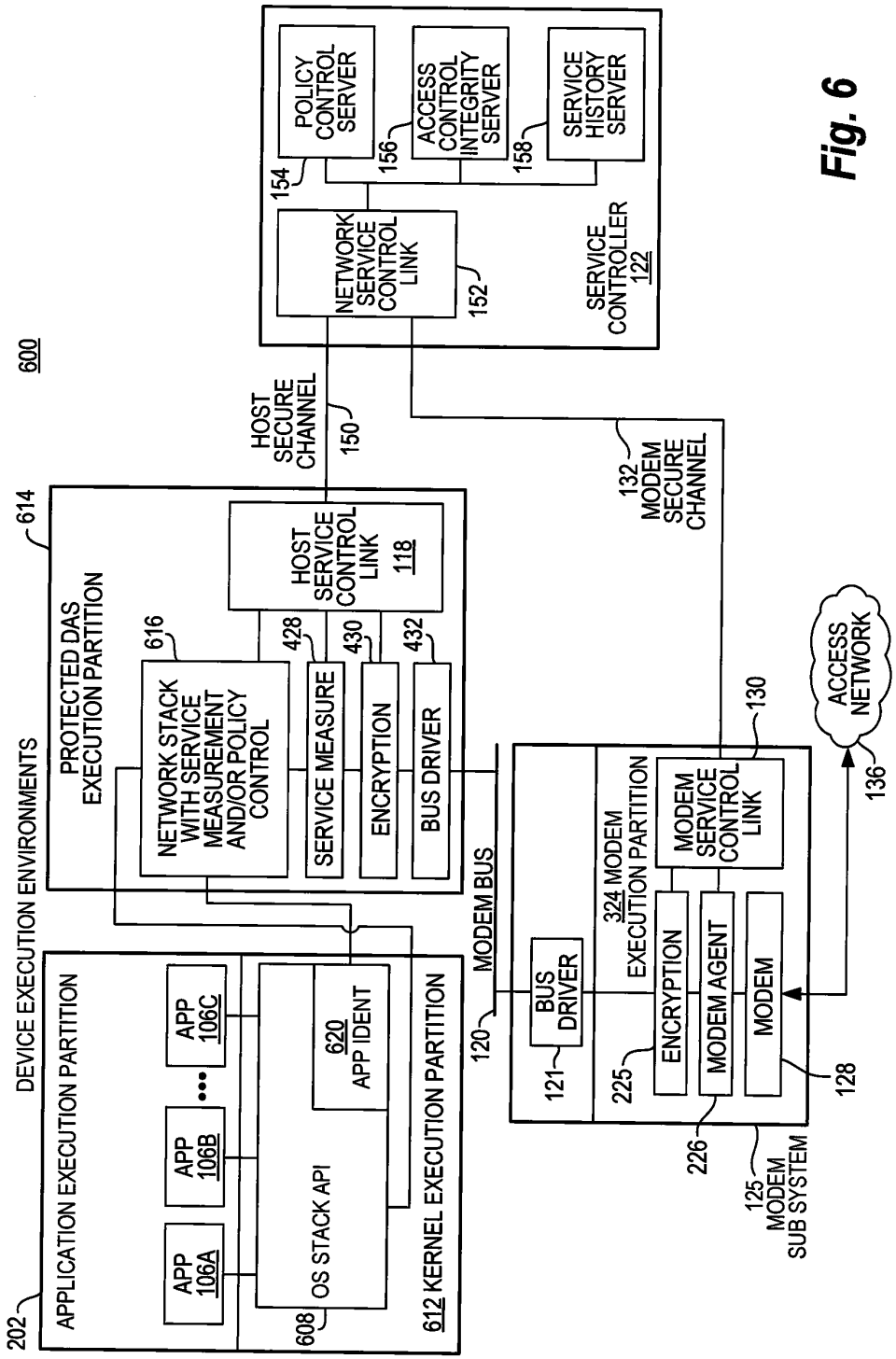

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BUS DRIVER
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HOST SECURE CHANNEL
150
SERVICE CONTROLLER 122
NETWORK SERVICE CONTROL LINK
152
POLICY CONTROL SERVER
154
ACCESS CONTROL INTEGRITY SERVER
156
SERVICE HISTORY SERVER
158
132 MODEM SECURE CHANNEL
202
APPLICATION EXECUTION PARTITION
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OS STACK API
608
620 APP IDENT
612 KERNEL EXECUTION PARTITION
MODEM BUS
120
BUS DRIVER
121
324 MODEM EXECUTION PARTITION
225
ENCRYPTION
MODEM AGENT
MODEM
128
MODEM SERVICE CONTROL LINK
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226
125 MODEM SUB SYSTEM
ACCESS NETWORK
136

Fig. 6

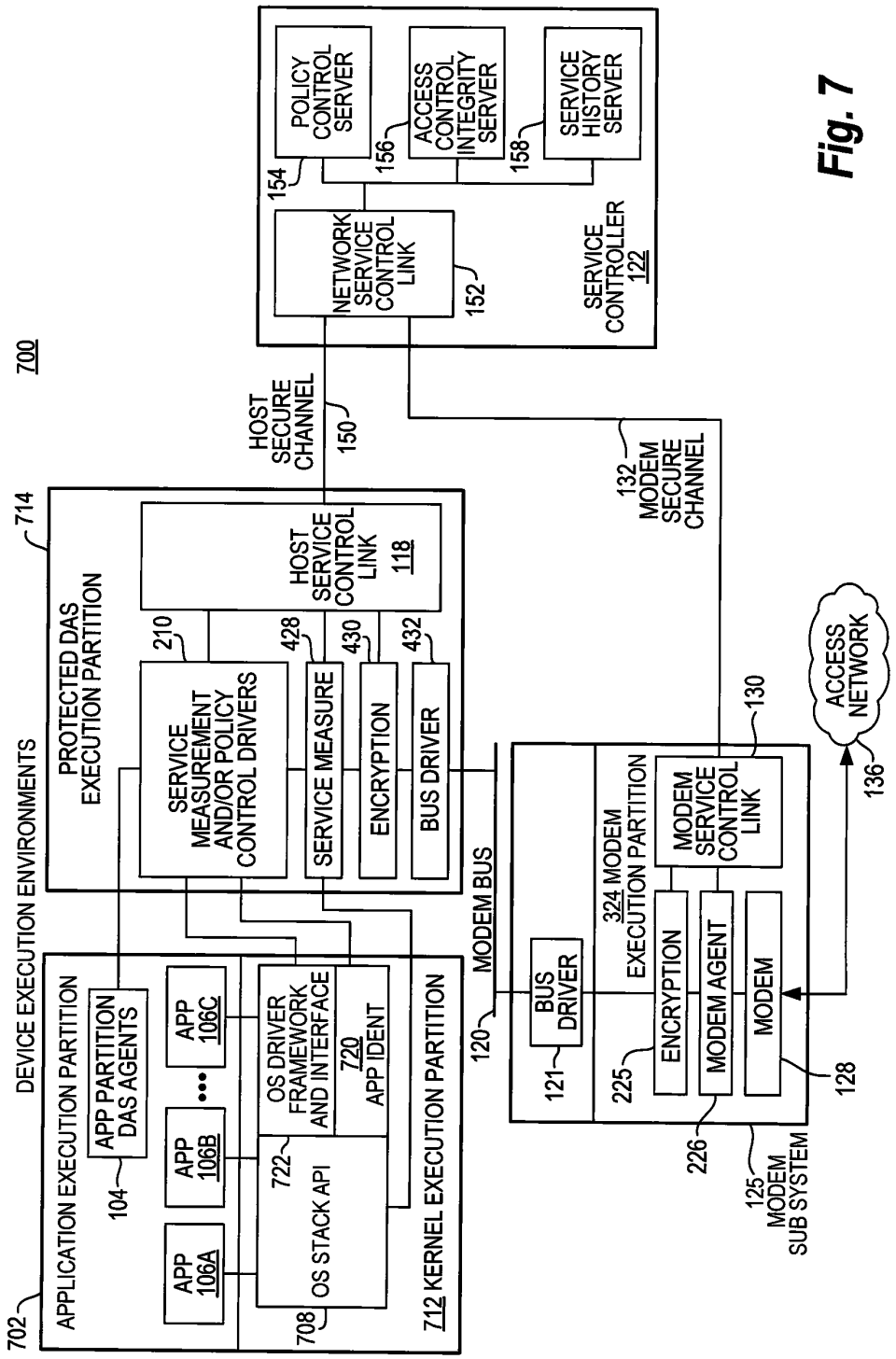

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ENCRYPTION
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BUS DRIVER
432
HOST SECURE CHANNEL
150
POLICY CONTROL SERVER
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ACCESS CONTROL INTEGRITY SERVER
156
SERVICE HISTORY SERVER
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NETWORK SERVICE CONTROL LINK
152
SERVICE CONTROLLER 122
132 MODEM SECURE CHANNEL
ACCESS NETWORK
136
130
MODEM SERVICE CONTROL LINK
324 MODEM EXECUTION PARTITION
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121
ENCRYPTION
225
MODEM AGENT
MODEM
128
MODEM BUS
120
125 MODEM SUB SYSTEM
226
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104
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APP 106B
APP 106C
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OS DRIVER FRAMEWORK AND INTERFACE
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APP IDENT
708
712 KERNEL EXECUTION PARTITION

Fig. 7

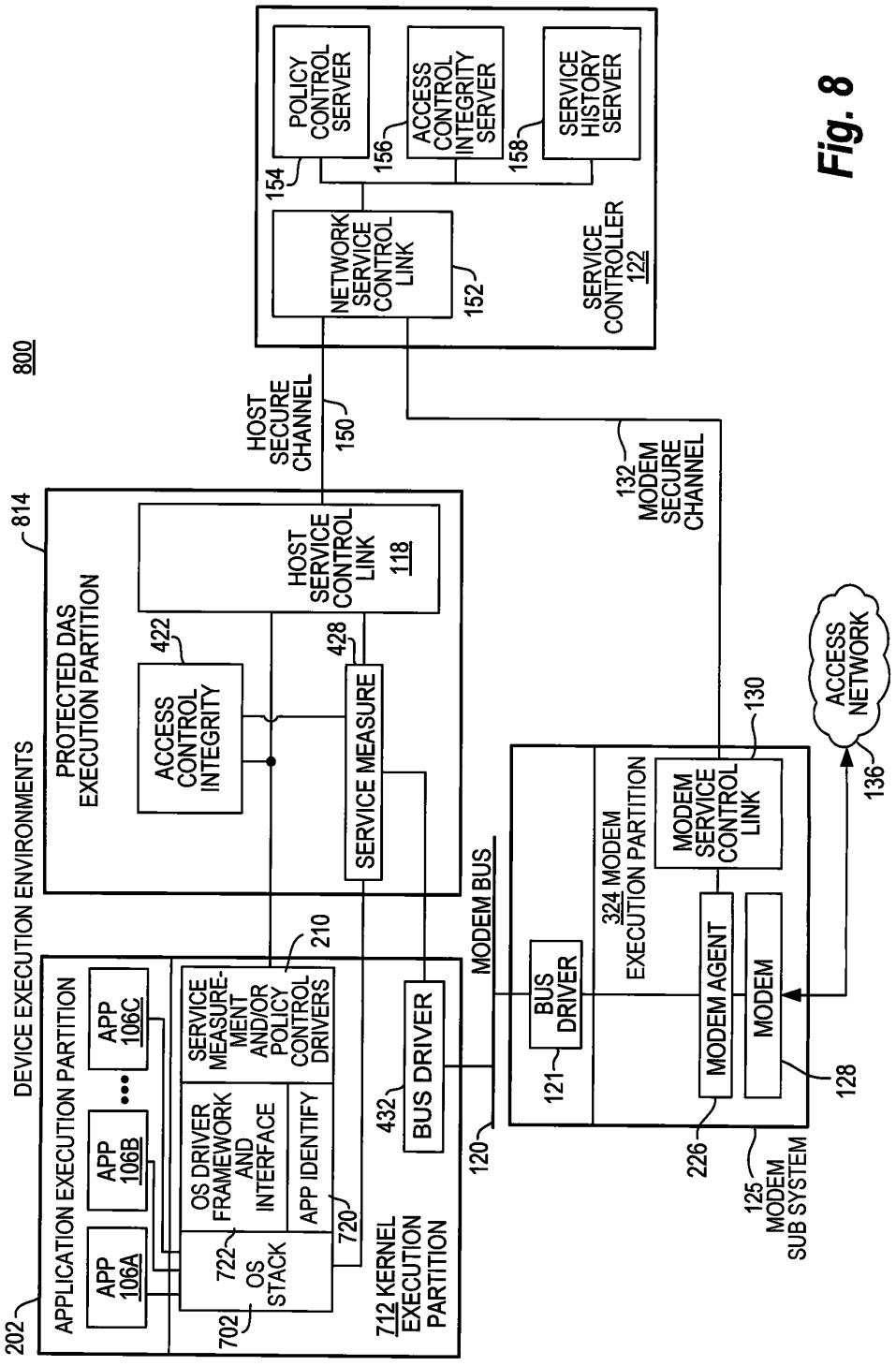

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ACCESS CONTROL INTEGRITY SERVER
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158
132 MODEM SECURE CHANNEL
ACCESS NETWORK
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MODEM
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MODEM BUS
BUS DRIVER
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APPLICATION EXECUTION PARTITION
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APP 106B
APP 106C
OS DRIVER FRAMEWORK AND INTERFACE
SERVICE MEASURE-MENT AND/OR POLICY CONTROL DRIVERS
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APP IDENTIFY
720
722 OS STACK
702
712 KERNEL EXECUTION PARTITION
BUS DRIVER
432

Fig. 8

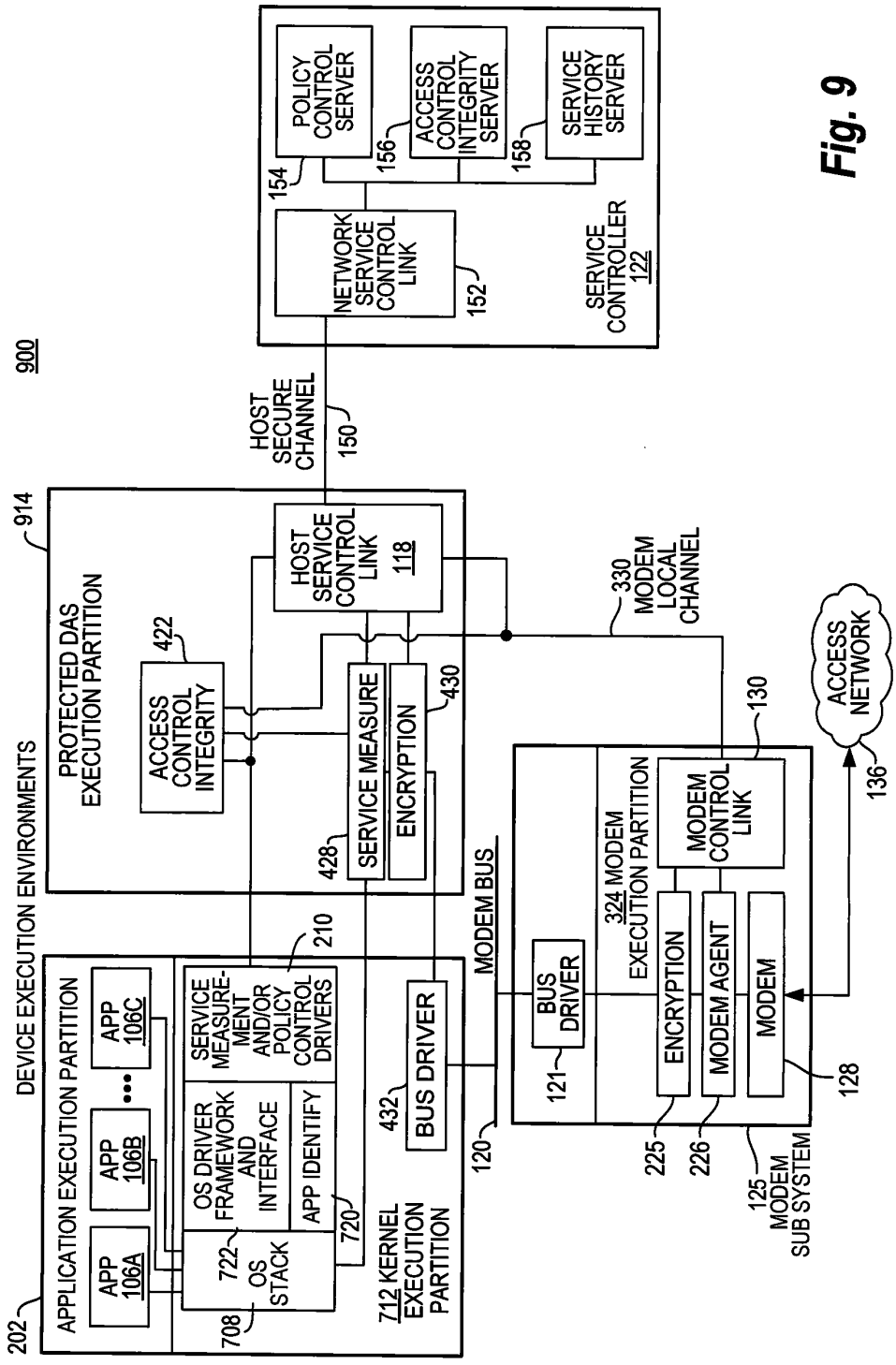

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HOST SECURE CHANNEL
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SERVICE HISTORY SERVER
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ACCESS NETWORK
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APP 106C
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SERVICE MEASURE-MENT AND/OR POLICY CONTROL DRIVERS
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BUS DRIVER
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ENCRYPTION
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MODEM
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125 MODEM SUB SYSTEM

Fig. 9

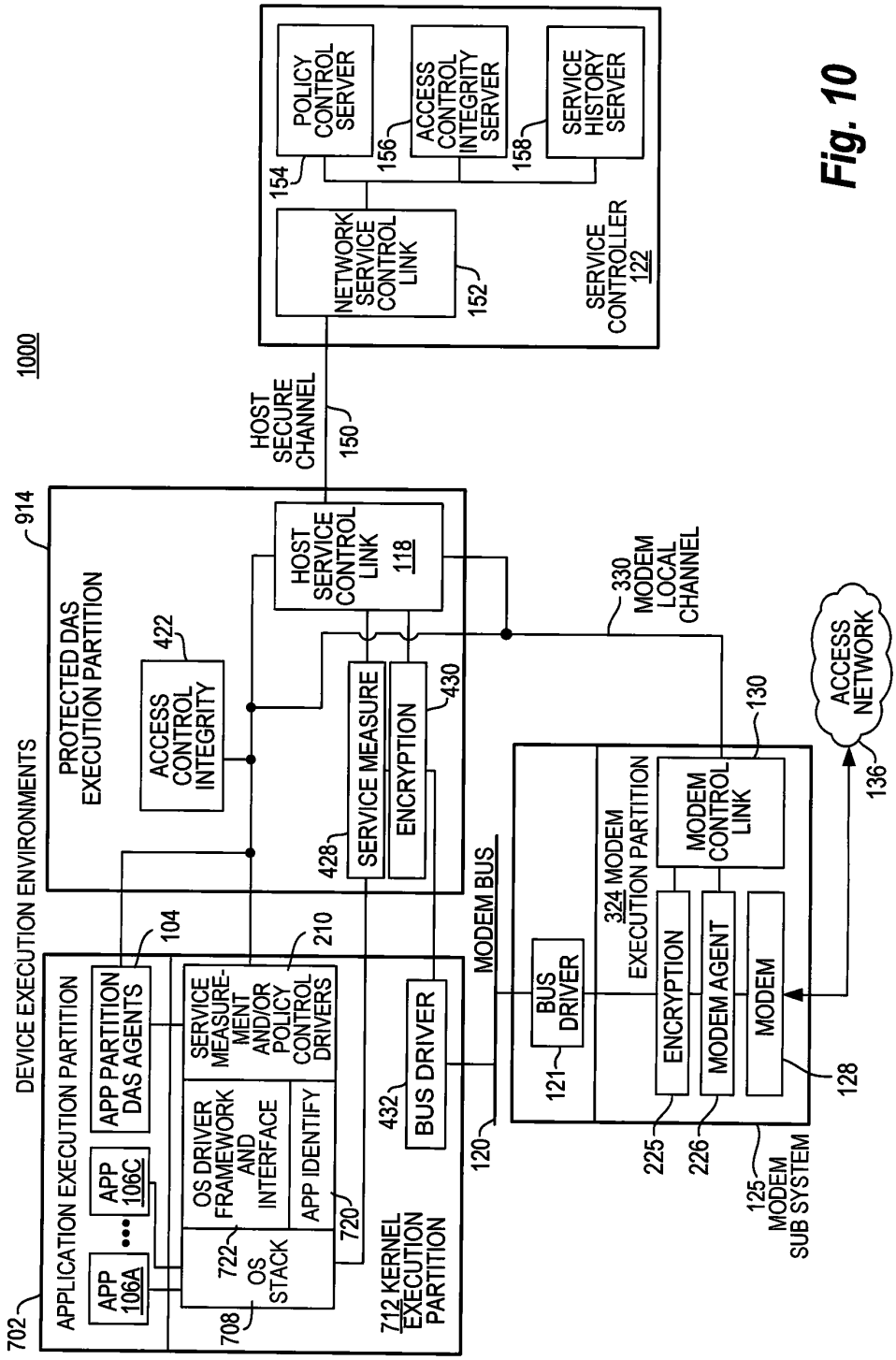

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SERVICE HISTORY SERVER
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SERVICE MEASURE
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SERVICE MEASURE-MENT AND/OR POLICY CONTROL DRIVERS
OS DRIVER FRAMEWORK AND INTERFACE
APP IDENTIFY
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BUS DRIVER
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MODEM SUB SYSTEM
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Fig. 10

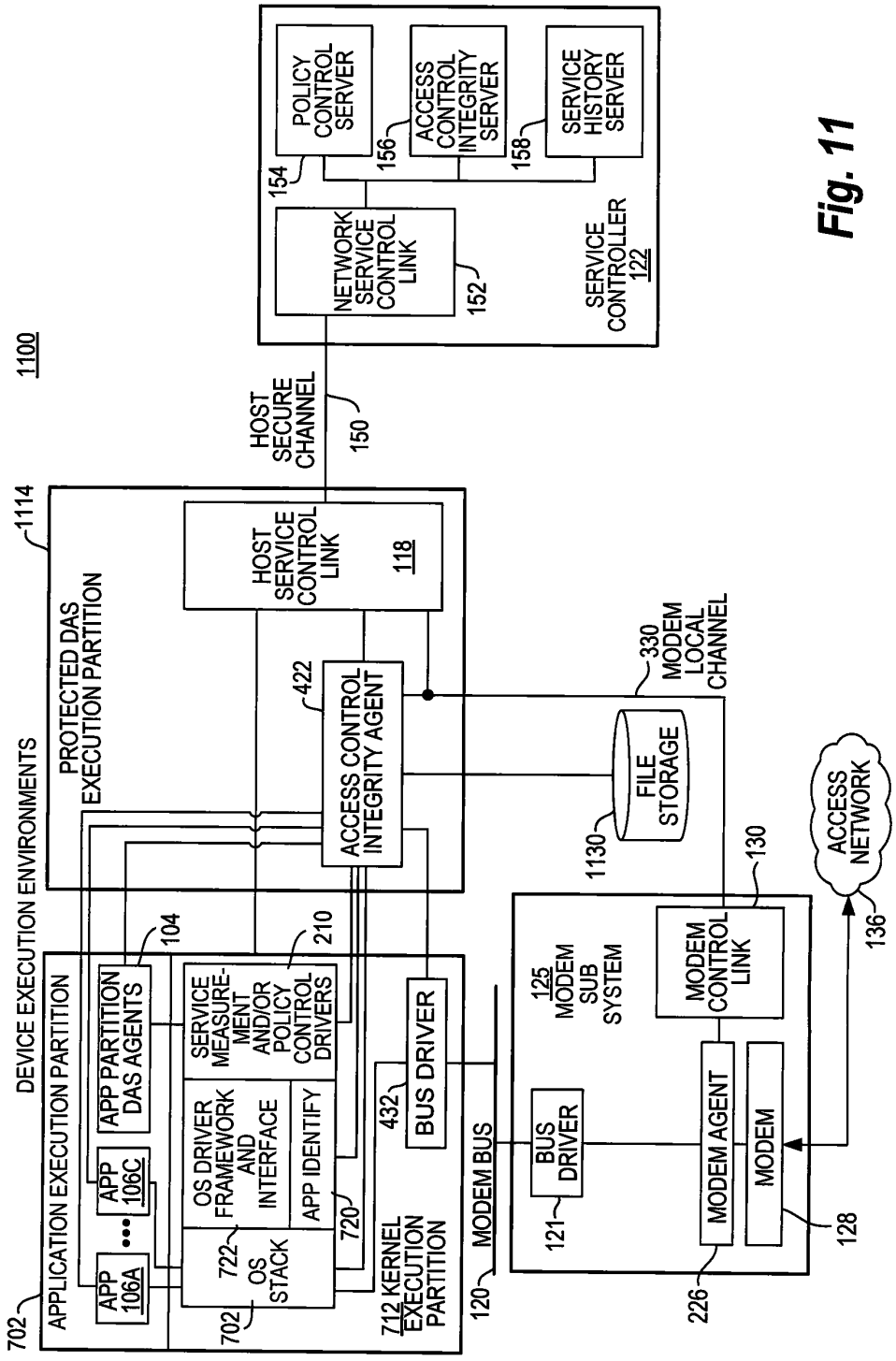

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SERVICE MEASURE-MENT AND/OR POLICY CONTROL DRIVERS
210
OS DRIVER FRAMEWORK AND INTERFACE
APP IDENTIFY
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722 OS STACK
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432
BUS DRIVER
MODEM BUS
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Fig. 11

Electronic Acknowledgement Receipt

EFS ID:	14310655
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	26-NOV-2012
Filing Date:	27-JAN-2010
Time Stamp:	22:23:50
Application Type:	Utility under 35 USC 111(a)

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2	Supplemental Response or Supplemental Amendment	P025Amend.pdf	266912 8705e5ed1f3bdfdc555929c88ef193f16192cf49	no	2
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3	Drawings-only black and white line drawings	P025Drawings.pdf	2271624 f4140a0c0d9c0490d820fef892d0495d1d0bca83	no	11
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Total Number of Pages in This Submission: 14

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Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	3687 Conf. No.: 6030
Examiner Name	Andrew J. Rudy
Attorney Docket Number	RALEP025

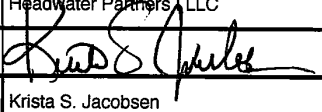
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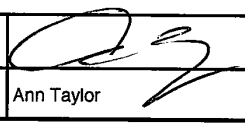
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Raleigh	Examiner:	RUDY, Andrew J.
Serial No.:	12/694,445	Art Unit:	3687
Filed:	January 27, 2010	Conf. No.:	6030
Title:	Security Techniques for Device Assisted Services		

Mail Stop Amendment
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AMENDMENT AND RESPONSE

Sir:

In response to the Office Action dated April 16, 2012, the deadline for response ending on October 16, 2012, with the enclosed request for a three-month extension of time, please amend the above-identified application as follows:

Amendments to the Claims begin on page 2.

Remarks begin on page 16.

AMENDMENTS TO THE CLAIMS

Without prejudice and without surrender of any subject matter, please amend the claims as follows:

1. (Currently amended) A system, comprising:

one or more modems for enabling a communications device to communicate over at least a first wireless network and a second wireless network;

[[a]] one or more processors of [[a]] the communications device configured to:

determine that the communications device is connected to the first wireless network;

based on the determination that the communications device is connected to the first wireless network, implement a first service profile executed at least in part in a secure execution environment, the first service profile for assisting control of usage by the communications device [[use]] of a service [[on a]] over the first wireless network, wherein the service profile includes ~~a plurality of~~ one or more service policy settings, ~~and wherein~~ at least one of the one or more service policy settings for assisting in controlling ~~the service profile is associated with a service plan that provides for~~ access to the service [[on]] over the first wireless network; and

monitor an attempted or successful use of the service over the first wireless network ~~based on the service profile~~; and

~~verify the use of the service based on the monitored use of the service;~~

[[a]] memory of the communications device coupled to the one or more processors and configured to provide the one or more processors with instructions.

2. (Currently amended) The system recited in claim 1, wherein the one or more processors of the communications device are further configured to send information about the monitored attempted or successful use of the service to a network element, wherein the information comprises ~~is verified based at least in part on device based~~ service usage information.

3. (Original) The system recited in claim 1, wherein the communications device is a mobile communications device or an intermediate networking device, and the service includes one or more Internet based services.

4. (Currently amended) The system recited in claim 1, wherein the communications device includes a modem, and at least one of the one or more processors of the communications device is located in the modem.

5. (Currently amended) The system recited in claim 1, wherein the communications device is a mobile communications device, and wherein the service includes one or more Internet based services, and wherein the mobile communications device includes one or more of the following: a mobile phone, a personal digital assistant (PDA), an eBook reader, a music device, an entertainment device, [[/]] a gaming device, a computer, laptop, a netbook, a tablet, and a home networking system.

6. (Currently amended) The system recited in claim 1, wherein the first service ~~plan~~ profile allows for access to the service with service capabilities that are controlled based on one or more of the following: a period of time, a network address, a service type, a content type, an application type, a bandwidth, and a data usage.

7. (Currently amended) The system recited in claim 1, wherein the one or more service policy settings include one or more of the following: an access control setting[[s]], a traffic control setting[[s]], a billing system setting[[s]], a user notification setting, a user notification with acknowledgement setting[[s]], a user notification with synchronized service usage information setting, a user privacy setting[[s]], a user preference setting[[s]], an authentication setting[[s]], an admission control setting[[s]], an application access setting[[s]], a content access setting[[s]], a transaction setting[[s]], [[and]] a network management communication setting, [[or]] and a device management communication setting[[s]].

8. (Original) The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition.

9. (Original) The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part as a hardware partition.

10. (Original) The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part as a software partition.

11. (Currently amended) The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part in a virtual machine executed on the one or more processors of the communications device.

12. (Currently amended) The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and the one or more processors of the communications device [[is]] are further configured to:

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a network element ~~server executing a service controller~~.

13. (Currently amended) The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and the one or more processors of the communications device [[is]] are further configured to:

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include a device agent for providing a service usage measure.

14. (Currently amended) The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and the one or more processors of the communications device [[is]] are further configured to:

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in secure communication with a network element ~~server executing a service controller~~, and wherein the secure communication with the network element ~~server executing a service controller~~ includes encrypted communications.

15. (Currently amended) The system recited in claim 1, wherein the communications device includes a modem, and at least one of the one or more processors of the communications device is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware [[and/]]or software partition, and wherein the one or more processors of the communications device [[is]] are further configured to:

execute one or more device assisted service agents in the secure modem execution partition, wherein the device assisted service agents executed in the secure modem execution partition are in communication with a ~~server executing a service controller~~ network element.

16. (Currently amended) The system recited in claim 1, wherein the communications device includes a modem, and at least one of the one or more processors of the communications device is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware [[and/]]or software partition, and wherein the one or more processors of the communications device [[is]] are further configured to:

execute one or more device assisted service agents in the secure modem execution partition, wherein the device assisted service agents executed in the secure modem execution partition are in secure communication with a network element ~~server executing a service controller~~, and wherein the secure communication with the network element ~~server executing a service controller~~ includes encrypted communications.

17. (Currently amended) The system recited in claim 1, wherein the communications device includes a modem, and at least one of the one or more processors of the communications device is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware [[and/]]or software partition, and wherein the one or more processors of the communications device [[is]] are further configured to:

execute one or more device assisted service agents in the secure modem execution partition, wherein one or more device assisted service agents executed in the secure modem execution partition include a modem agent for providing service usage measure.

18. (Currently amended) The system recited in claim 1, wherein the one or more processors of the communications device [[is]] are further configured to:

execute a first set of one or more device assisted service agents in a kernel execution partition; and

execute a second set of one or more device assisted service agents in the protected device assisted service execution partition, wherein at least one agent of the second set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition are~~ is in communication with a ~~server executing a service controller~~ network element.

19. (Currently amended) The system recited in claim 1, wherein the one or more processors of the communications device [[is]] are further configured to:

execute a first set of one or more device assisted service agents in an application execution partition;

execute a second set of one or more device assisted service agents in a kernel execution partition; and

execute a third set of one or more device assisted service agents in the protected device assisted service execution partition, wherein at least one agent of the third set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition are~~ is in communication with a ~~server executing a service controller~~ network element.

20. (Currently amended) The system recited in claim 1, wherein the one or more processors of the communications device [[is]] are further configured to:

execute a first set of one or more device assisted service agents in an application execution partition;

execute a second set of one or more device assisted service agents in a kernel execution partition;

execute a third set of one or more device assisted service agents in a modem execution partition; and

execute a fourth set of one or more device assisted service agents in the protected device assisted service execution partition, wherein at least one agent of the fourth set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition are~~ is in communication with a ~~server executing a service controller~~ network element.

21. (Currently amended) The system recited in claim 1, wherein the one or more processors of the communications device [[is]] are further configured to:

execute a first set of one or more device assisted service agents in an application execution partition;

execute a second set of one or more device assisted service agents in a kernel execution partition;

execute a third set of one or more device assisted service agents in a modem execution partition; and

execute a fourth set of one or more device assisted service agents in the protected device assisted service execution partition, wherein at least one agent of the fourth set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition are~~ is in communication with a network element ~~server executing a service controller~~, and wherein the fourth set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition include~~ comprises one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent.

22. (Currently amended) The system recited in claim 1, wherein the one or more processors of the communications device [[is]] are further configured to:

execute a first set of one or more device assisted service agents in an application execution partition;

execute a second set of one or more device assisted service agents in a kernel execution partition;

execute a third set of one or more device assisted service agents in a modem execution partition, wherein the modem execution partition is in communication with the protected device assisted execution partition using a modem local channel; and

execute a fourth set of one or more device assisted service agents in the protected device assisted service execution partition, wherein at least one agent of the fourth set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition are~~ is in communication with a network element ~~server executing a service controller~~, and wherein the fourth set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition include~~ comprises one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent.

23. (Currently amended) The system recited in claim 1, wherein the one or more processors of the communications device [[is]] are further configured to:

execute a first set of one or more device assisted service agents in an application execution partition;

execute a second set of one or more device assisted service agents in a kernel execution partition;

execute a third set of one or more device assisted service agents in a modem execution partition, wherein the modem execution partition is in communication with the protected device assisted execution partition using a modem local channel, and wherein at least one agent of the third set of one or more device assisted service agents ~~in the modem execution partition include~~ comprises a service usage measure agent; and

execute a fourth set of one or more device assisted service agents in the protected device assisted service execution partition, wherein at least one agent of the fourth set of one or more

device assisted service agents ~~executed in the protected device assisted service execution partition~~ is in communication with a network element ~~server executing a service controller~~, and wherein the fourth set of one or more device assisted service agents ~~executed in the protected device assisted service execution partition include~~ comprises one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent.

24. (Currently amended) A method, comprising:

determining that a communications device capable of connecting to a first wireless network and to a second wireless network is connected to the first wireless network;

based on determining that the communications device is connected to the first wireless network, implementing a first service profile executed at least in part in a secure execution environment of ~~a processor of a~~ the communications device, the first service profile for assisting control of usage by the communications device [[use]] of a service [[on]] over [[a]] the first wireless network, wherein the service profile includes ~~a plurality of~~ one or more service policy settings~~, and wherein the service profile is associated with a service plan that provides~~ for assisting in controlling access to the service [[on]] over the first wireless network; and

monitoring an attempted or successful use of the service over the first wireless network ~~based on the service profile; and~~

~~verifying the use of the service based on the monitored use of the service~~.

25. (Currently amended) A computer program product, the computer program product being embodied in a non-transitory computer readable storage medium and comprising computer instructions for:

determining that a communications device capable of connecting to a first wireless network and to a second wireless network is connected to the first wireless network;

based on determining that the communications device is connected to the first wireless network, implementing a first service profile executed at least in part in a secure execution environment of ~~a processor of a~~ the communications device, the first service profile for assisting control of usage by the communications device [[use]] of a service [[on]] over [[a]] the first wireless network, wherein the service profile includes ~~a plurality of~~ one or more service policy

settings~~, and wherein the service profile is associated with a service plan that provides~~ for assisting in controlling access to the service [[on]] over the first wireless network; and

monitoring an attempted or successful use of the service over the first wireless network ~~based on the service profile; and~~

~~verifying the use of the service based on the monitored use of the service~~.

26. (New) The system recited in claim 1, wherein the first wireless network is a roaming network, and wherein assisting control of usage by the communications device of a service over the first wireless network comprises disallowing communications on the roaming network.

27. (New) The system recited in claim 1, wherein the first wireless network is a roaming network, and wherein assisting control of usage by the communications device of a service over the first wireless network comprises restricting at least an aspect of communications on the roaming network.

28. (New) The system recited in claim 1, wherein the first wireless network is a cellular network, and wherein assisting control of usage by the communications device of a service over the first wireless network comprises disallowing communications on the cellular network.

29. (New) The system recited in claim 1, wherein the first wireless network is a cellular network, and wherein assisting control of usage by the communications device of a service over the first wireless network comprises restricting at least an aspect of communications on the cellular network.

30. (New) The system recited in claim 1, wherein the one or more processors are further configured to:

determine that the communications device is connected to the second wireless network; and

implement a second service profile, the second service profile for assisting control of usage by the communications device of the service over the second wireless network.

31. (New) The system recited in claim 30, wherein the one or more service policy settings are one or more first service policy settings, and wherein the second service profile comprises one or more second service policy settings.

32. (New) The system recited in claim 30, wherein the one or more processors are configured to implement the second service profile by executing the second service profile at least in part in the secure execution environment.

33. (New) The system recited in claim 1, wherein the one or more processors are further configured to:

determine that the communications device is connected to the second wireless network; and

refrain from implementing the first service profile based on the determination that the communications device is connected to the second wireless network.

34. (New) The system recited in claim 1, wherein assisting control of usage by the communications device of a service over the first wireless network comprises assisting in providing the service with an identified quality of service (QOS).

35. (New) The system recited in claim 1, wherein assisting control of usage by the communications device of a service over the first wireless network comprises assisting in disallowing use of the service.

36. (New) The system recited in claim 1, wherein assisting control of usage by the communications device of a service over the first wireless network comprises assisting in restricting use of the service.

37. (New) The system recited in claim 1, wherein assisting control of usage by the communications device of a service over the first wireless network comprises assisting in applying a traffic shaping to the service.

38. (New) The system recited in claim 1, wherein assisting control of usage by the communications device of a service over the first wireless network comprises assisting in controlling a particular service usage activity.

39. (New) The system recited in claim 38, wherein assisting in controlling a particular service usage activity comprises disallowing the particular service usage activity.

40. (New) The system recited in claim 38, wherein assisting in controlling a particular service usage activity comprises restricting the particular service usage activity.

41. (New) The system recited in claim 38, wherein assisting in controlling a particular service usage activity comprises traffic shaping the particular service usage activity.

42. (New) The system recited in claim 38, wherein in controlling a particular service usage activity comprises assisting in providing an identified quality of service (QOS) to the particular service usage activity.

43. (New) The system recited in claim 38, wherein the particular service usage activity comprises communications associated with a particular application.

44. (New) The system recited in claim 38, wherein the particular service usage activity comprises: communications over a roaming network, communications over a cellular network, communications associated with a particular source or destination, communications associated with a particular traffic type, communications associated with a transaction service, communications associated with an advertising service, communications associated with an application type, communications associated with a particular network communication end point, or communications associated with a particular transaction type.

45. (New) The system recited in claim 44, wherein the particular traffic type comprises best-effort traffic, real-time traffic, voice over Internet protocol (VOIP) traffic, live video traffic, streaming traffic, multi-cast traffic, uni-cast traffic, point-to-point traffic, traffic associated with a

file type, traffic associated with an application, traffic with a particular priority, traffic without an assigned priority, traffic associated with the first wireless network, or traffic associated with the second wireless network.

46. (New) The system recited in claim 1, wherein at least a portion of the first service profile is based on a user preference.

47. (New) The system recited in claim 46, further comprising a user interface, and wherein the one or more processors are further configured to obtain the user preference through the user interface.

48. (New) The system recited in claim 1, wherein assisting control of usage by the communications device of a service over the first wireless network comprises providing differentiated quality of service (QOS) to two or more service usage activities.

49. (New) The system recited in claim 48, wherein the differentiated QOS is based on an assigned QOS hierarchy.

50. (New) The system recited in claim 48, wherein at least one of the two or more service usage activities comprises: communications over a roaming network, communications over a cellular network, communications associated with a particular source or destination, communications associated with a particular application, communications associated with a particular traffic type, communications associated with a transaction service, communications associated with an advertising service, communications associated with an application type, communications associated with a particular network communication end point, and communications associated with a particular transaction type.

51. (New) The system recited in claim 50, wherein the particular traffic type comprises best-effort traffic, real-time traffic, voice over Internet protocol (VOIP) traffic, live video traffic, streaming traffic, multi-cast traffic, uni-cast traffic, point-to-point traffic, traffic associated with a

file type, traffic associated with an application, traffic with a particular priority, traffic without an assigned priority, or traffic associated with a particular network.

52. (New) The system recited in claim 1, wherein the service is associated with a particular quality of service (QOS), and wherein first service profile assists in providing the service with the particular QOS.

53. (New) The system recited in claim 1, wherein the first service profile assists in authorizing the communications device to use the wireless network.

54. (New) The system recited in claim 1, wherein the one or more processors are further configured to obtain at least a portion of the first service profile from the network element.

55. (New) The system recited in claim 1, wherein the one or more processors are further configured to obtain configuration information from a network element, the configuration information for assisting the one or more processors in modifying or allowing modifications to at least one service policy setting of the one or more service policy settings.

56. (New) The system recited in claim 55, wherein the communications device is an intermediate networking device.

57. (New) The system recited in claim 1, wherein the one or more processors are further configured to obtain at least one of the one or more service policy settings from a network element.

58. (New) The system recited in claim 1, wherein the one or more processors are further configured to send information about the monitored attempted or successful use of the service to a network element.

59. (New) The system recited in claim 58, wherein the one or more processors are further configured to obtain a message from the network element, the message confirming receipt of the information about the monitored attempted or successful use of the service.

60. (New) The system recited in claim 58, wherein the information about the monitored attempted or successful use of the service comprises quality of service (QOS) information.

61. (New) The system recited in claim 58, wherein the network element is a quality of service (QOS) control element.

62. (New) The system recited in claim 1, wherein the one or more processors of the communications device are configured to implement the first service profile based on the monitored attempted or successful use of the service over the first wireless network.

REMARKS

Claims 1-25 are pending and were rejected. Claims 1, 2, 4-7, and 11-25 are being amended. Claims 26-62 are being added. No new matter is being added. Reconsideration is respectfully requested.

Claim Rejections – 35 U.S.C. § 103

In section 2, the Office Action rejects claims 1- 25 under 35 U.S.C. § 103(a) as being unpatentable over U.S. Patent Publication 2006/0026679 by Zakas (hereinafter, "Zakas") in view of U.S. Patent Publication 2008/0127304 by Ginter *et al.* (hereinafter, "Ginter").

Zakas discloses a system and method for monitoring and regulating the flow of network traffic over a network to increase the security of the information residing on a target system or server. Zakas at ¶ [0014]. The invention of Zakas "has the ability to view all network traffic in the full context of users, applications, data and system access." *Id.* Zakas also discloses traffic sensor devices that communicate with a central manager device. *Id.* The central manager device may have a directory component, which manages user accounts and network permissions, and a control component, which receives network permissions from the directory component and converts them into primary policies and exception policies. *Id.* at ¶¶ [0015]-[0016]. The control component also monitors network activity observed by traffic sensors using "rich traffic analysis" in order to identify who is accessing the network, which resources are accessed, which applications are used to generate traffic, and/or what data is being exchanged. *Id.* at ¶ [0016]. The traffic sensors collect and analyze data as it flows across the network, enforce various rules and policies, and may receive instructions from the control component for the enforcement of rules and policies set forth in the main directory system. *Id.* The policies, which may vary according to the role of a user within an organization, may include quality-of-service (QoS) levels, access rights, bandwidth utilization, secure transfer, and/or data encryption. *Id.*

Ginter discloses systems and methods for secure transaction management and electronic rights protection. Ginter at Abstract. Ginter discloses a new kind of "virtual distribution environment" or "VDE" that secures, administers, and audits electronic information use. *Id.* at ¶ [0010]. VDE allows the owners and distributors of electronic digital information to reliably bill

for, and securely control, audit, and budget the use of, electronic information. *Id.* at ¶ [0014]. Tamper-resistant "secure processing units" or "SPUs" help provide a high level of security for VDE processes and information storage and communication. *Id.* at ¶ [0020]. Ginter discloses that VDE can audit and analyze the use of content, ensure that content is used only in authorized ways, and allow information regarding content usage to be used only in ways approved by content users. *Id.* at ¶¶ [0028]-[0031]. Each VDE "participant" may have an electronic appliance, such as a computer, which has a secure processing unit (SPU). *Id.* at ¶ [0436]. The SPU processes information in a secure processing environment and stores important information securely. *Id.* The SPU is enclosed within and protected by a tamper-resistant security barrier that prevents information and processes within the secure environment from being observed, interfered with, and leaving except under appropriate secure conditions. *Id.* at ¶ [0437]. The tamper resistant security barrier is formed by security features such as encryption and hardware that detects tampering and/or destroys sensitive information within the secure environment when tampering is detected. *Id.*

In rejecting claims 1-25, the Office Action states that Zakas discloses a processor (*e.g.*, ¶ [0030]); a communications device with control settings (*e.g.*, ¶¶ [0031], [0032], [0037], [0047], [0050], [0056]); a wireless network (*e.g.*, ¶¶ [0030], [0034], [0040]); a plurality of policy settings and service plan (*e.g.*, ¶ [0040], [0043]); monitoring use of the service of the service profile (*e.g.*, ¶¶ [0014], [0016], [0045]); and encrypted communications (*e.g.*, ¶¶ [0016], [0053]). The Office Action states that Zakas does not disclose verifying the use of the service based on the monitored use of the service or a memory of the communications device including instructions, but that Ginter teaches verifying the use of the service based on the monitored use of the service and a memory of the communications device including instructions, service usage (*e.g.*, ¶¶ [0388], [0395], [0414]-[0419], [1963]); a processor located in a modem (*e.g.*, ¶¶ [0450], [0451]); a secure environment and virtual machine (*e.g.*, ¶¶ [0373], [2000], [0482], [0600], [0601]); a hardware/software partition (*e.g.*, ¶ [0438]); and a modem (*e.g.*, ¶ [0388]); a service controller (*e.g.*, [¶¶ [0373], [0650]). The Office Action states that to have provided verifying the use of the service based on the monitored use of the service and a memory of the communications device including instructions for Zakas would have been obvious to one of ordinary skill in the art in view of Ginter.

Claim 1

As amended, claim 1 reads:

> A system, comprising:
>
> one or more modems for enabling a communications device to communicate over at least a first wireless network and a second wireless network;
>
> one or more processors of the communications device configured to:
>
> determine that the communications device is connected to the first wireless network;
>
> based on the determination that the communications device is connected to the first wireless network, implement a first service profile executed at least in part in a secure execution environment, the first service profile for assisting control of usage by the communications device of a service over the first wireless network, wherein the service profile includes one or more service policy settings, at least one of the one or more service policy settings for assisting in controlling access to the service over the first wireless network; and
>
> monitor an attempted or successful use of the service over the first wireless network; and
>
> memory of the communications device coupled to the one or more processors and configured to provide the one or more processors with instructions.

The amendments to claim 1 are supported at least by paragraphs [0026] and [0030].

Applicant respectfully submits that claim 1, as amended, is nonobvious over Zakas in view of Ginter at least because neither Zakas nor Ginter discloses, contemplates, or suggests "one or more modems for enabling a communications device to communicate over at least a first wireless network and a second wireless network," "one or more processors of the communications device configured to determine that the communications device is connected to the first wireless network," or "one or more processors of the communications device configured to . . . based on the determination that the communications device is connected to the first wireless network, implement a first service profile executed at least in part in a secure execution environment, the first service profile for assisting control of usage by the communications device

of a service over the first wireless network, wherein the service profile includes one or more service policy settings, at least one of the one or more service policy settings for assisting in controlling access to the service over the first wireless network."

Although Zakas contemplates that the traffic sensors "may be placed at various locations throughout one or more networks (*e.g.*, corporate network(s), private network(s), and/or other network(s)) in order to provide true identification and control over network usage at any network segment," Zakas at ¶ [0030], Zakas does not disclose or contemplate that the traffic sensors include one or more modems for enabling the traffic sensors to communicate over at least a first wireless network and a second wireless network. Furthermore, although Zakas discloses that traffic sensors may be implemented as a computer program embedded within equipment having a programmed digital computer or processor anywhere within the flow of traffic, *id.*, Zakas does not disclose or contemplate that such programmed digital computer or processor determines that the equipment is connected to the first wireless network. Zakas also does not disclose or contemplate that, based on the determination that the communications device is connected to the first wireless network, such programmed digital computer or processor implements a first service profile executed at least in part in a secure execution environment. Finally, even if Zakas disclosed a first service profile executed at least in part in a secure execution environment—which, Applicant respectfully submits, it does not—Zakas does not disclose that such first service profile is for assisting control of usage by the communications device of a service over the first wireless network, or that such service profile includes one or more service policy settings, at least one of the one or more service policy settings for assisting in controlling access to the service over the first wireless network.

Likewise, Ginter does not contemplate or suggest that VDE-enabled devices include one or more modems for enabling the devices to communicate over at least a first wireless network and a second wireless network, nor does Ginter disclose that these devices determine that the equipment is connected to the first wireless network. Furthermore, although Ginter discloses tamper-resistant secure processing units that help provide a high level of security for VDE processes and information storage and communication, *id.* at ¶ [0020], Ginter does not disclose that a VDE-enabled device implements a first service profile in a secure execution environment based on the determination that the device is connected to the first wireless network, or that such

service profile includes one or more service policy settings, at least one of the one or more service policy settings for assisting in controlling access to the service over the first wireless network.

Therefore, for at least the reasons stated above, Applicant respectfully submits that claim 1 is patentable over Zakas in view of Ginter, and Applicant respectfully requests that the 35 U.S.C. § 103(a) rejection be withdrawn.

Claims 2-23

Claims 2, 4-7, and 11-25 have been amended. Most of the amendments propagate the amendments to claim 1, correct antecedent basis, or clarify acronyms. The amendments to claim 2 are more substantive than the amendments to claims 4-7 and 11-25 and are supported at least by paragraphs [0024] and [0026].

Claims 2-23 depend directly from claim 1. Because claim 1 is patentable over Zakas in view of Ginter, Applicant respectfully submits that claims 2-23 are also patentable over Zakas in view of Ginter. Therefore, Applicant respectfully requests that the 35 U.S.C. § 103(a) rejections be withdrawn.

Claim 24

As amended, claim 24 recites:

> A method, comprising:
>
> determining that a communications device capable of connecting to a first wireless network and to a second wireless network is connected to the first wireless network;
>
> based on determining that the communications device is connected to the first wireless network, implementing a first service profile executed at least in part in a secure execution environment of the communications device, the first service profile for assisting control of usage by the communications device of a service over the first wireless network, wherein the service profile includes one or more service policy settings for assisting in controlling access to the service over the first wireless network; and

monitoring an attempted or successful use of the service over the first wireless network.

Applicant respectfully submits that claim 24 is nonobvious over Zakas in view of Ginter because neither Zakas nor Ginter discloses, contemplates, or suggests "determining that a communications device is connected to a first wireless network" or "based on determining that the communications device is connected to the first wireless network, implementing a first service profile executed at least in part in a secure execution environment of the communications device, the first service profile for assisting control of usage by the communications device of a service over the first wireless network, wherein the service profile includes one or more service policy settings for assisting in controlling access to the service over the first wireless network."

Although Zakas discloses that traffic sensors may be implemented as a computer program embedded within equipment having a programmed digital computer or processor anywhere within the flow of traffic, Zakas at ¶ [0030], Zakas does not disclose or contemplate such computer or processor, or any other element, determining that the computer, processor, or other element is connected to the first wireless network. Likewise, Zakas does not disclose or contemplate that, based on the determination that the communications device is connected to the first wireless network, implementing a first service profile executed at least in part in a secure execution environment. Finally, even if Zakas disclosed implementing a first service profile executed at least in part in a secure execution environment—which, Applicant respectfully submits, it does not—Zakas does not disclose that such first service profile is for assisting control of usage by the communications device of a service over the first wireless network, or that such service profile includes one or more service policy settings, at least one of the one or more service policy settings for assisting in controlling access to the service over the first wireless network.

Likewise, Ginter does not contemplate or suggest determining that a VDE-enabled device is connected to the first wireless network, or implementing a first service profile in a secure execution environment based on the determination that the device is connected to the first wireless network, or that such service profile includes one or more service policy settings, at

least one of the one or more service policy settings for assisting in controlling access to the service over the first wireless network.

Therefore, Applicant respectfully submits that claim 24 is nonobvious over Zakas in view of Ginter, and Applicant respectfully requests that the 35 U.S.C. § 103(a) rejection be withdrawn.

Claim 25

As amended, claim 25 recites:

> A computer program product, the computer program product being embodied in a non-transitory computer readable storage medium and comprising computer instructions for:
>
> determining that a communications device capable of connecting to a first wireless network and to a second wireless network is connected to a first wireless network;
>
> based on determining that the communications device is connected to the first wireless network, implementing a first service profile executed at least in part in a secure execution environment of the communications device, the first service profile for assisting control of usage by the communications device of a service over the first wireless network, wherein the service profile includes one or more service policy settings for assisting in controlling access to the service over the first wireless network; and
>
> monitoring an attempted or successful use of the service over the first wireless network.

Applicant respectfully submits that claim 25 is nonobvious over Zakas in view of Ginter for the same reasons that claim 24 is nonobvious over Zakas in view of Ginter. Therefore, Applicant respectfully requests that the 35 U.S.C. § 103(a) rejection be withdrawn.

Claims 26-62

Claims 26-62 are being added. Claim 26 is supported at least by ¶¶ [0020], [0021], [0028], [0048], and [0064]. Claim 27 is supported at least by ¶¶ [0020], [0021], [0028], [0048], [0064], and [0067]. Claim 28 is supported at least by ¶¶ [0020], [0021], [0028], [0030], [0048],

and [0051]. Claim 29 is supported at least by ¶¶ [0020], [0021], [0028], [0030], [0048], [0051], and [0057]. Claim 30 is supported at least by ¶¶ [0026], [0028], [0030], and [0051]. Claim 31 is supported at least by ¶¶ [0021], [0026], and [0078]. Claim 32 is supported at least by ¶¶ [0052], [0053], [0055], [0061], [0065], and [0071]. Claim 33 is supported at least by ¶¶ [0026], [0028], [0030], and [0051]. Claim 34 is supported at least by ¶¶ [0020], [0022], [0026], [0057], and [0058]. Claim 35 is supported at least by ¶ [0021]. Claim 36 is supported at least by ¶¶ [0021] and [0057]. Claim 37 is supported at least by ¶ [0021]. Claim 38 is supported at least by ¶¶ [0020], [0021], [0022], [0047], and [0052]. Claim 39 is supported at least by ¶ [0021]. Claim 40 is supported at least by ¶¶ [0021] and [0057]. Claim 41 is supported at least by ¶ [0021]. Claim 42 is supported at least by ¶¶ [0020], [0022], [0057], and [0058]. Claim 43 is supported at least by ¶¶ [0027], and [0028]. Claim 44 is supported at least by ¶¶ [0020], [0027], [0028], [0048], and [0064]. Claim 45 is supported at least by ¶ [0027]. Claim 46 is supported at least by ¶¶ [0025], [0026], and [0073]. Claim 47 is supported at least by ¶¶ [0025] and [0026]. Claim 48 is supported at least by ¶ [0022]. Claim 49 is supported at least by ¶ [0022] Claim 50 is supported at least by ¶¶ [0020], [0027], [0028], [0048], and [0064]. Claim 51 is supported at least by ¶ [0027]. Claim 52 is supported at least by ¶¶ [0020], [0022], [0057], and [0058]. Claim 53 is supported at least by ¶ [0021]. Claim 54 is supported at least by ¶¶ [0026], [0036], and [0059]. Claim 55 is supported at least by ¶¶ [0026] and [0036]. Claim 56 is supported at least by ¶¶ [0030] and [0052]. Claim 57 is supported at least by ¶¶ [0026] and [0036]. Claim 58 is supported at least by ¶¶ [0020], [0021], [0022], [0024]-[0026], [0057], [0058], [0073], and [0075]. Claim 59 is supported at least by ¶ [0075]. Claim 60 is supported at least by ¶¶ [0020], [0022], [0057], [0058], and [0073]. Claim 61 is supported at least by ¶¶ [0022], [0057], and [0058]. Claim 62 is supported at least by ¶¶ [0020], [0026], [0030], [0051], [0055], and FIG. 4.

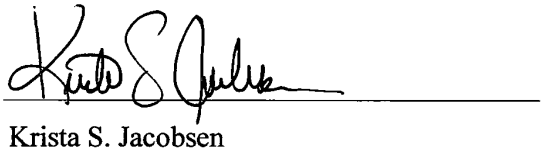
Claims 26-62 depend, directly or indirectly, from claim 1 and, therefore, are nonobvious over Zakas in view of Ginter for at least the same reasons that claim 1 is nonobvious over Zakas in view of Ginter.

CONCLUSION

Applicant respectfully requests entry of these amendments as provided herein. The application is believed to be in condition for allowance, and a Notice of Allowance is hereby respectfully requested. If the Examiner has any questions or needs any additional information, the Examiner is invited to contact the undersigned.

The Commissioner is authorized to charge any fee deficiency or credit any overpayment to Deposit Account 50-5876.

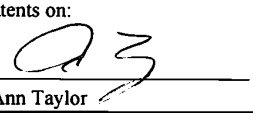
Respectfully submitted,

Date: October 15, 2012 By: 

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CERTIFICATE OF ELECTRONIC TRANSMISSION

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Date: Oct. 15, 2012 By: 
Ann Taylor

Electronic Patent Application Fee Transmittal	
Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen/Ann Taylor
Attorney Docket Number:	RALEP025 [26WV-160502]
Filed as Small Entity	

Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Claims in excess of 20	2202	37	31	1147
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension - 3 months with $0 paid	2253	1	645	645
Miscellaneous:				
		Total in USD ($)		**1792**

Electronic Acknowledgement Receipt	
EFS ID:	13991107
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	15-OCT-2012
Filing Date:	27-JAN-2010
Time Stamp:	21:08:26
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$1792
RAM confirmation Number	7817
Deposit Account	505876
Authorized User	
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	P025Trans.pdf	321854 439ab8790c180ee9c4965e2a184eb36f94a2d9dd	no	1
Warnings:					
Information:					
2	Extension of Time	P025Ext.pdf	310264 13c376a44893d5545a7967c0f240094ea529ea16	no	1
Warnings:					
Information:					
3		P025OAR.pdf	318030 cc1031a82cc446b6166b2cd60210c00c6d763972	yes	24

Multipart Description/PDF files in .zip description

Document Description	Start	End
Amendment/Req. Reconsideration-After Non-Final Reject	1	1
Claims	2	15
Applicant Arguments/Remarks Made in an Amendment	16	24

Warnings:					
Information:					
4	Fee Worksheet (SB06)	fee-info.pdf	32621 8ba7a06daf02222a6dc8c93f25064e38d2acd93c	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	982769		

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

National Stage of an International Application under 35 U.S.C. 371
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New International Application Filed with the USPTO as a Receiving Office
If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

Doc Code: TRAN.LET

Document Description: Transmittal Letter

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	28

Application Number	12/694445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	3687 Conf. 6030
Examiner Name	Andrew J. Rudy
Attorney Docket Number	RALEP025

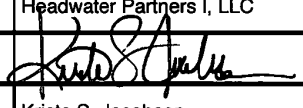
ENCLOSURES *(Check all that apply)*

- ☑ Fee Transmittal Form
  - ☐ Fee Attached
- ☑ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☑ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Reply to Missing Parts/ Incomplete Application
  - ☐ Reply to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
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  - ☐ Landscape Table on CD
- ☐ After Allowance Communication to TC
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC **(Appeal Notice, Brief, Reply Brief)**
- ☐ Proprietary Information
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Remarks

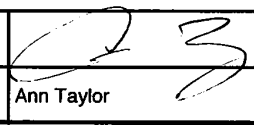
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Headwater Partners I, LLC		
Signature			
Printed name	Krista S. Jacobsen		
Date	October 15, 2012	Reg. No.	59374

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PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)	Docket Number (Optional) RALEP025
Application Number 12/694,445	Filed January 27, 2010
For Security Techniques for Device Assisted Services	
Art Unit 3687 Conf. No. 6030	Examiner Rudy, Andrew J.

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above-identified application.

The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):

	Fee	Small Entity Fee	
☐ One month (37 CFR 1.17(a)(1))	$150	$75	$
☐ Two months (37 CFR 1.17(a)(2))	$570	$285	$
■ Three months (37 CFR 1.17(a)(3))	$1,290	$645	$645
☐ Four months (37 CFR 1.17(a)(4))	$2,010	$1,005	$
☐ Five months (37 CFR 1.17(a)(5))	$2,730	$1,365	$

■ Applicant claims small entity status. See 37 CFR 1.27.

☐ A check in the amount of the fee is enclosed.

☐ Payment by credit card. Form PTO-2038 is attached.

☐ The Director has already been authorized to charge fees in this application to a Deposit Account.

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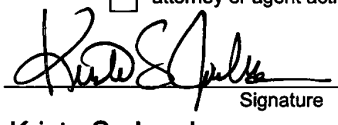
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I am the

☐ applicant.

■ attorney or agent of record. Registration number 59374.

☐ attorney or agent acting under 37 CFR 1.34. Registration number _____.



Signature

October 15, 2012
Date

Krista S. Jacobsen
Typed or printed name

650-517-2798
Telephone Number

NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. Submit multiple forms if more than one signature is required, see below*.

☐ * Total of _____ forms are submitted.

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

Application Number	12694445
Filing Date	2010-01-27
First Named Inventor	Raleigh, Gregory G.
Art Unit	3687
Examiner Name	Rudy, Andrew J.
Attorney Docket Number	RALEP025

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6502131		2002-12-31	Vaid, Aseem et al.	
	2	6505114		2003-01-07	Luciani, Sergio	
	3	6763000		2004-07-13	Walsh, Peter J.	
	4	6967958		2005-11-22	Ono, Yoshiyuki et al.	
	5	7644267		2010-01-05	Ylikoski, Martti et al.	
	6	7710932		2010-05-04	Muthuswamy, Sivakumar et al.	
	7	7881199		2011-02-01	Krstulich, Zlatko	
	8	7886047		2011-02-08	Potluri, Dora	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	9	7911975		2011-03-22	Droz, Patrick et al.	
	10	8050275		2011-11-01	Iyer, Jayaraman R.	
	11	8194553		2012-06-05	Liang, Zhi Yong et al.	
	12	8239520		2012-08-07	Grah, Adrian et al.	
	13	7890084		2011-02-15	Dudziak, Thaddeus Jude et al.	
	14	7890111		2011-02-15	Bugenhagen, Michael K.|	
	15	6226277		2001-05-01	Chuah, Mooi Choo	
	16	6839340		2005-01-04	Voit, Eric A. et al.	
	17	6922562		2005-07-26	Ward, Stephen L. et al.	
	18	7620041		2009-11-17	Dunn, Jeffrey H. et al.	
	19	7627314		2009-12-01	Carlson, Steven I. et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

	20	7792538		2010-09-07	Kozisek, Steven E.	
	21	7801523		2010-09-21	Kenderov, Stoyan	
	22	7877090		2011-01-25	Maes, Stephane H.	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

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	Attorney Docket Number	RALEP025

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	Attorney Docket Number	RALEP025

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J.
	Attorney Docket Number	RALEP025

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	Art Unit	3687
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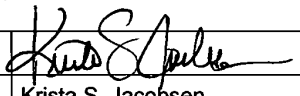
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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature		Date (YYYY-MM-DD)	2012-10-09
Name/Print	Krista S. Jacobsen	Registration Number	59374

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Electronic Patent Application Fee Transmittal	
Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen/Ann Taylor
Attorney Docket Number:	RALEP025 [26WV-160502]
Filed as Small Entity	

Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
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Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
		Total in USD ($)		**180**

Electronic Acknowledgement Receipt	
EFS ID:	13946749
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
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Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	10-OCT-2012
Filing Date:	27-JAN-2010
Time Stamp:	00:48:59
Application Type:	Utility under 35 USC 111(a)

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1	Transmittal Letter	P025Trans.pdf	319900 abe89b7f242e3b00b86ff9092a2a7826efce5a45	no	1
Warnings:					
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2	Information Disclosure Statement (IDS) Form (SB08)	P025IDS.pdf	1587633 8cf4a5a5bbf48f53271aff89fca68780f7b72d41	no	8
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Application Number	12/694445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	3687 Conf. 6030
Examiner Name	Andrew J. Rudy
Total Number of Pages in This Submission: 10	Attorney Docket Number: RALEP025

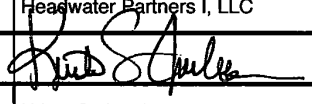
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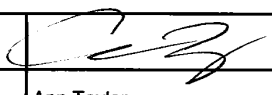
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	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

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	10	7450927		2008-11-11	Creswell, Carroll W.|Farah, Jeffrey J.|Toney, Greg	
	11	7499537		2009-03-03	Elsey, Nicholas J.|Kepler, Michael A.|Timmins, Tim	
	12	7610328		2009-10-27	Haase, Oliver|Murakami, Kazutaka|Xiong, Ming	
	13	7620162		2009-11-17	Aaron, Jeffrey A.|Alin, Jun-Gang	
	14	7650137		2010-01-19	Jobs, Steven P.|Anzures, Freddy Allen|Ording, Bas	
	15	7693720		2010-04-06	Kennewick, Robert A. et al.	
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	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

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	21	7822837		2010-10-26	Urban, Mark|Jackson, Simon Adrian|Lopez Perez, Dan	
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	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

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	32	8194549		2012-06-05	Huber, Kurt Donald et al.	
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	35	8200775		2012-06-12	Moore, James F.	
	36	7069248		2006-06-27	Huber, Adriano	

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

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	Attorney Docket Number	RALEP025

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030013434		2003-01-16	Rosenberg, Dave H.|Melnicki, Michael S.	
	2	20030018524		2003-01-23	Fishman, Dan et al.	
	3	20030046396		2003-03-06	Richter, Roger K.|Qiu, Chaoxin C.| Johnson, Scott C	
	4	20030220984		2003-11-27	Jones, Paul David et al.	
	5	20040021697		2004-02-05	Beaton, Brian Finlay|Smith, Colin Donald	

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	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

	6	20040107360		2004-06-03	Herrmann, Conrad K.|Murari, Sinduja	
	7	20040132427		2004-07-08	Lee, Wan-Yeon|Yeo, Woon-Young|Cho, Ki-Hyoung	
	8	20040249918		2004-12-09	Sunshine, Roger N.	
	9	20050048950		2005-03-03	Morper, Hans-Jochen	
	10	20060112016		2006-05-25	Ishibashi, Yoshihito	
	11	20060258341		2006-11-16	Miller, Quentin S.C.|Limont, David P.|Ostlund, Joh	
	12	20070061243		2007-03-15	Ramer, Jorey|Soroca, Adam| Doughty, Dennis	
	13	20070282896		2007-12-06	Wydroug, Zoe M.|Ostermeier, Todd D.|Abdelrahman, N	
	14	20080010452		2008-01-10	Holtzman, Michael et al.	
	15	20080060066		2008-03-06	Wynn, Simon|Gordon, John	
	16	20080062900		2008-03-13	Rao, Bindu Rama	

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	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

	17	20080164304		2008-07-10	Narasimhan, Subram|Kiraly, Kenneth P.	
	18	20080184127		2008-07-31	Rafey, Richter A. et al.	
	19	20080207167		2008-08-28	Bugenhagen, Michael K.	
	20	20080221951		2008-09-11	Stanforth, Peter et al.	
	21	20080311885		2008-12-18	Dawson, Christopher James| Hamilton, II, Rick Allen	
	22	20080319879		2008-12-25	Carroll, Jim|Rose, Jeffrey|Taylor, Jenny	
	23	20090005005		2009-01-01	Forstall, Scott|Christie, Gregory N.| Borchers, Rob	
	24	20090013157		2009-01-08	Beaule, Stephane	
	25	20090068984		2009-03-12	Burnett, R. Alan	
	26	20090079699		2009-03-26	SUN, JIAN	
	27	20090286507		2009-11-19	O'Neil, Douglas R.|Rivera, Jose F.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

	28	20100017506		2010-01-21	Fadell, Anthony	
	29	20100191576		2010-07-29	Raleigh, Gregory G.	
	30	20100191612		2010-07-29	Raleigh, Gregory G.	
	31	20100192212		2010-07-29	Raleigh, Gregory G.	
	32	20100195503		2010-08-05	Raleigh, Gregory G.	
	33	20110126141		2011-05-26	King, Bennett M.|Kaleas, Dimosthenis|Dahl, Sten Jo	
	34	20100325420		2010-12-23	Kanekar, Tushar	
	35	20100103820		2010-04-29	FULLER, Randy|JACKSON, Robert|RILEY, Yusun Kim	
	36	20070254675		2007-11-01	Zorlu Ozer, Sebnem|Strutt, Guenael T.|Zeng, Surong	
	37	20080005285		2008-01-03	Robinson, James David|Garcia, Victor Maximillian	
	38	20080256593		2008-10-16	Vinberg, Anders B. et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

	39	20090077622		2009-03-19	Baum, Marc|Dawes, Paul J.| Kinney, Mike|Raji, Reza	
	40	20090113514		2009-04-30	Hu, Q. James	
	41	20090288140		2009-11-19	Huber, Kurt Donald et al.	
	42	20100042675		2010-02-18	FUJII, Hiroshi	

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

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]¡	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	2010088413	WO		2010-08-05	Headwater Partners I LLC		☐

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NON-PATENT LITERATURE DOCUMENTS

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

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

EFS Web 2.1.17

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	Raleigh, Gregory G.
	Art Unit	3687
	Examiner Name	Rudy, Andrew J
	Attorney Docket Number	RALEP025

CERTIFICATION STATEMENT

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

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

OR

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

☐ See attached certification statement.

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

☐ None

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2012-08-13
Name/Print	Krista S. Jacobsen	Registration Number	59374

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

Electronic Patent Application Fee Transmittal	
Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Krista Susan Jacobsen/Ann Taylor
Attorney Docket Number:	RALEP025 [26WV-160502]
Filed as Small Entity	

Utility under 35 USC 111(a) Filing Fees

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

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
		Total in USD ($)		**180**

Electronic Acknowledgement Receipt	
EFS ID:	13487885
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	107265
Filer:	Krista Susan Jacobsen/Ann Taylor
Filer Authorized By:	Krista Susan Jacobsen
Attorney Docket Number:	RALEP025 [26WV-160502]
Receipt Date:	13-AUG-2012
Filing Date:	27-JAN-2010
Time Stamp:	23:30:48
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$180
RAM confirmation Number	8216
Deposit Account	505876
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees) Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)	

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

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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	Trans.pdf	371565 b942cadce6cdc151005cd170c2327acf32ba0698	no	1
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	IDS.pdf	1498888 119fd7a0ea55fa5b3f3eee0f0a216320e2e521a3	no	12
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
3	Foreign Reference	WO2010.pdf	8109078 055807212236103389 26e7c7d074f9ec8d64dd4a	no	97
Warnings:					
Information:					
4	Fee Worksheet (SB06)	fee-info.pdf	30550 15ef85278ad050f7dbe28bf1d316f01016fc6e5b	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	10010081		

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.

Doc Code: TRAN.LET

Document Description: Transmittal Letter

PTO/SB/21 (07-09)
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	12/694,445
Filing Date	2010-01-27
First Named Inventor	Gregory G. Raleigh
Art Unit	3687 Conf.: 6030
Examiner Name	Rudy, Andrew J
Attorney Docket Number	RALEP025

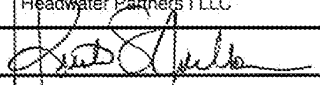
ENCLOSURES *(Check all that apply)*

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☑ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Reply to Missing Parts/ Incomplete Application
  - ☐ Reply to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
  - ☐ Landscape Table on CD
- ☐ After Allowance Communication to TC
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC **(Appeal Notice, Brief, Reply Brief)**
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please identify below):

Remarks

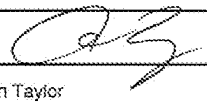
You are hereby authorized to charge any additional fee required or credit any overpayment to Deposit Account No. 50-5876.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Headwater Partners I LLC		
Signature			
Printed name	Krista S. Jacobsen		
Date	August 13, 2012	Reg. No.	59,374

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or printed name	Ann Taylor	Date	August 13, 2012

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/694,445	01/27/2010	Gregory G. Raleigh	26WV-160502 [RALEP025]

CONFIRMATION NO. 6030

107265
Headwater Partners I LLC - Outside Firm 1
350 Marine Parkway, Suite 300
Redwood Shores, CA 94065

POA ACCEPTANCE LETTER

OC000000055627244

Date Mailed: 08/01/2012

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 07/16/2012.

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.

/zabraha/

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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United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
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Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/694,445	01/27/2010	Gregory G. Raleigh	26WV-160502 [RALEP025]

CONFIRMATION NO. 6030

69849
SHEPPARD, MULLIN, RICHTER & HAMPTON LLP
379 Lytton Avenue
Palo Alto, CA 94301

POWER OF ATTORNEY NOTICE

OC000000055627213

Date Mailed: 08/01/2012

NOTICE REGARDING CHANGE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 07/16/2012.

- 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).

/zabraha/

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

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POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

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

I hereby appoint:

☑ Practitioners associated with the Customer Number: 107265

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: 107265

OR

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

Assignee Name and Address:

Headwater Partners I LLC
350 Marine Parkway, Suite 300
Redwood City, CA 94065 U.S.A.

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 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	July 5, 2012
Name	Gregory G. Raleigh	Telephone	650-517-2781
Title	Manager		

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

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Gregory G. Raleigh

Application No./Patent No.: 12/694,445 Filed/Issue Date: January 27, 2010

Entitled: Security Techniques for Device Assisted Services

Headwater Partners I LLC (Name of Assignee), a limited liability company (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; or
2. ☐ an assignee of less than the entire right, title and interest (The extent (by percentage) of its ownership interest is _____ %)

in 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 024248, Frame 0112, 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: _____ To: _____
   The document was recorded in the United States Patent and Trademark Office at
   Reel _____, Frame _____, or for which a copy thereof is attached.
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   The document was recorded in the United States Patent and Trademark Office at
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3. From: _____ To: _____
   The document was recorded in the United States Patent and Trademark Office at
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☑ 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.

Signature — July 16, 2012 (Date)

Krista S. Jacobsen, Reg. No. 59,374 (Printed or Typed Name) — 650-517-2798 (Telephone Number)

Attorney of Record (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.

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Date:	July 16, 2012
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Fax No.:	571-273-8300
From:	Krista S. Jacobsen, Head Counsel, Headwater Partners I LLC
Phone Number:	650-517-2798

Total Pages Including Cover: 3

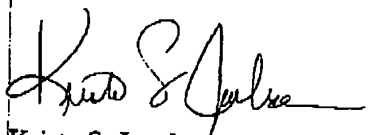
Fax

Sir:

Following this cover sheet, please find form SB/80, granting power of attorney to prosecute applications before the USPTO to practitioners associated with the Customer Number 107265, and form SB/96, a statement under 37 C.F.R. § 3.73(b) establishing the right of assignee Headwater Partners I LLC to take action in application number 12/694,445.

Please let me know if you need any additional information to complete the Customer Number change in the application.

Sincerely,



Krista S. Jacobsen
Head Counsel, Headwater Partners I LLC
Reg. No. 59,374

PAGE 1/3 * RCVD AT 7/16/2012 3:36:00 PM [Eastern Daylight Time] * SVR:W-PTOFAX-002/19 * DNIS:2738300 * CSID:16506108051 * DURATION (mm-ss):01-14

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/694,445	01/27/2010	Gregory G. Raleigh	26WV-160502 [RALEP025]	6030

69849 7590 04/16/2012

SHEPPARD, MULLIN, RICHTER & HAMPTON LLP
379 Lytton Avenue
Palo Alto, CA 94301

EXAMINER	
RUDY, ANDREW J	
ART UNIT	**PAPER NUMBER**
3687	

MAIL DATE	DELIVERY MODE
04/16/2012	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.

Office Action Summary	Application No.	Applicant(s)	
	12/694,445	RALEIGH, GREGORY G.	
	Examiner	Art Unit	
	ANDREW J. RUDY	3687	

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

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

Disposition of Claims

5)☒ Claim(s) 1-25 is/are pending in the application.

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

6)☐ Claim(s) _____ is/are allowed.

7)☒ Claim(s) 1-25 is/are rejected.

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

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

Application Papers

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

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

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

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

12)☐ 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

13)☐ 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: _____.

DETAILED ACTION

Claim Rejections - 35 USC § 103

1. 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 negatived by the manner in which the invention was made.

2. Claims 1-25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Zakas, US 2006/0026679 in view of Ginter et al., US 2008/0127304. Zakas discloses, e.g. Figs. 1-8 and related text, a processor, e.g. [0030], a communications device with control settings, e.g. [0031, 0032, 0037, 0047, 0050, 0056] a wireless network, e.g. [0030, 0034, 0040], a plurality of policy settings and service plan, e.g. [0040, 0043], monitoring use of the service of the service profile [0014, 0016, 0045], and encrypted communications, e.g. [0016, 0053]. Zakas does not disclose verifying the use of service based on the monitored use of the service and a memory of the communications device including instructions.

Ginter teaches verifying the use of service based on the monitored use of the service and a memory of the communications device including instructions, service usage, e.g. [0388, 0395, 0414-0419, 1963], a processor located in a modem, e.g. [0450, 0451], a secure environment and virtual machine, e.g. [0373, 2000] e.g. [0482, 0600, 0601], a hardware/software partition, e.g. [0438], a modem, e.g. [0388], a service controller, e.g. [0373, 0650]. To have provided

verifying the use of service based on the monitored use of the service and a memory of the communications device including instructions for Zakas would have been obvious to one of ordinary skill in the art in view of Ginter.

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

4. Applicant's Information Disclosure Statements (IDS's) have been reviewed. Note the attached IDS's.

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

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

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-

direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/ANDREW JOSEPH RUDY/
Primary Examiner, Art Unit 3687

Notice of References Cited	Application/Control No. 12/694,445	Applicant(s)/Patent Under Reexamination RALEIGH, GREGORY G.	
	Examiner ANDREW J. RUDY	Art Unit 3687	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-5,903,845	05-1999	Buhrmann et al.	455/461
*	B	US-5,933,778	08-1999	Buhrmann et al.	455/461
*	C	US-6,317,584	11-2001	Abu-Amara et al.	455/12.1
*	D	US-7,024,200	04-2006	McKenna et al.	455/452.1
*	E	US-8,023,425	09-2011	Raleigh, Gregory G.	370/252
	F	US-			
	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					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

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

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

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United States Patent and Trademark Office
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BIB DATA SHEET

CONFIRMATION NO. 6030

SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
12/694,445	01/27/2010 RULE	705	3687	26WV-160502 [RALEP025]

APPLICANTS

Gregory G. Raleigh, Woodside, CA;

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

This application is a CIP of 12/380,780 03/02/2009
and claims benefit of 61/206,354 01/28/2009
and claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
and claims benefit of 61/252,151 10/15/2009

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

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

02/17/2010

Foreign Priority claimed ☐ Yes ☑ No 35 USC 119(a-d) conditions met ☐ Yes ☑ No Verified and Acknowledged /ANDREW JOSEPH RUDY/ Examiner's Signature	☐ Met after Allowance Initials	STATE OR COUNTRY	SHEETS DRAWINGS	TOTAL CLAIMS	INDEPENDENT CLAIMS
		CA	11	25	3

ADDRESS

SHEPPARD, MULLIN, RICHTER & HAMPTON LLP
379 Lytton Avenue
Palo Alto, CA 94301
UNITED STATES

TITLE

SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

FILING FEE RECEIVED		
1480	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

BIB (Rev. 05/07).

PTO/SB/08 (08-03)

Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	1	of	1	Atty Docket No.	RALEP025

U.S. Patent Documents					
Examiner Initials	CiteNo.	Document Number Number-Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	3AA	US 7,747,240	06-29-2010	BRISCOE et al.	
	3BB	US 2003/0088671	05-08-2003	KINKER et al.	
	3CC	US 2007/0248100	10-25-2007	ZUBERI et al.	
	3DD	US 2008/0130534	06-05-2008	Tazuko Tomioka	

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No.	Foreign Patent Document Country Code–Number–Kind Code	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	3A	WO 2007/014630	02-08-2007	Telefonaktiebolaget LM Ericsson	
	3B	WO 2006/004467	01-12-2006	Telefonaktiebolaget LM Ericsson	
	3M	WO 1999/065185	12-16-1999	British Telecommunications	

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T^2
	3C	KNIGHT et al., Layer 2 and 3 Virtual Private Networks: Taxonomy, Technology, and Standardization Efforts, IEEE Communications Magazine, June 2004	
	3D	KOUTSOPOULOU et al., Middleware Platform for the Support of Charging Reconfiguration Actions, 2005	
	3E	NILSSON et al., A Novel MAC Scheme for Solving the QoS Parameter Adjustment Problem in IEEE802.11e EDCA, February 2006	
	3F	Author Unknown, Overview of GSM, GPRS, and UMTS, Chapter 2, November 4, 2008	
	3G	CHAOUCHI et al., Policy Based Networking in the Integration Effort Of 4G Networks and Services, 2004 IEEE	
	3H	ZHU et al., A Survey of Quality of Service in IEEE 802.11 Networks, IEEE Wireless Communications, August 2004	
	3I	KYRIAKAKOS et al., Ubiquitous Service Provision in Next Generation Mobile Networks, Proceedings of the 13th IST Mobile and Wireless Communications Summit, Lyon, France, June 2004	
	3J	FAROOQ et al., An IEEE 802.16 WiMax Module for the NS-3 Simulator, March 2-6, 2009	
	3K	Author Unknown, HP, IP Multimedia Services Charging, A White Paper from HP, January 2006	
	3L	Author Unknown, Kindle™ User's Guide 3rd Edition, Copyright 2004-2009	

Examiner	/Andrew Joseph Rudy/	Date Considered	04/10/2012

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T^2 = Applicant is to place a check mark here if English language Translation is attached

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

PTO/SB/08 (08-03)

Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	1	of	1	Atty Docket No.	RALEP025

U.S. Patent Documents					
Examiner Initials	Cite No.	Document Number Number-Kind Code *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A.	US 2003/0088671	05-08-2003	KLINKER et al.	
	B.	US 2007/0248100	10-25-2007	ZUBERI et al.	
	C.	US 2008/0130534	06-05-2008	Tazuko Tomioka	
	D.	US 2006/0236095	10-19-2006	SMITH et al.	
	E.	US 2009/0054030	02-26-2009	Golds	
	F.	US 6,952,428	10-04-2005	NECKA et al.	
	G.	US 2010/0043068	02-18-2010	VARADHAN et al.	
	H.	US 2010/0071053	03-18-2010	ANSARI et al.	
	I.	US 2003/0005112	01-03-2003	Krautkremer	
	J.	US 2006/0045245	03-02-2006	AARON et al.	
	K.	US 2007/0076616	04-05-2007	NGO et al.	
	L.	US 2006/0190314	08-24-2006	Hernandez	
	M.	US 2009/0271514	10-29-2009	THOMAS et al.	
	N.	US 6,684,244	01-27-2004	GOLDMAN et al.	
	O.	US 2005/0055291	03-10-2005	BEVENTE et al.	
	P.	US 2006/0019632	01-26-2006	CUNNINGHAM et al.	
	Q.	US 2005/0238046	10-27-2005	HASSAN et al.	
	R.	US 5,577,100	11-19-1996	McGREGOR et al.	
	S.	US 6,198,915	03-06-2001	McGREGOR et al.	
	T.	US 6,650,887	11-18-2003	McGREGOR et al.	
	U.	US 7,245,901	07-17-2007	McGREGOR et al.	
	V.	US 7,373,136	05-13-2008	WATLER et al.	
	W.	US 6,725,031	04-20-2004	WATLER et al.	
	X.	US 2002/0022472	02-21-2002	WATLER et al.	
	Y.	US 6,532,579	03-11-2003	SATO et al.	

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No.	Foreign Patent Document Country Code–Number–Kind Code *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	Z.	WO 2007/018363	08-02-2006	Upresto, Inc.	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T^2
	AA.		
	BB.		

Examiner	/Andrew Joseph Rudy/	Date Considered	04/10/2012

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T^2 = Applicant is to place a check mark here if English language Translation is attached

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PTO/SB/08a (07-09)
Approved for use through 07/31/2012. OMB 0651-0031
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 4

Complete if Known	
Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		6,449,479	09-10-2002	SANCHEZ, Eduardo	
		6,603,969	08-05-2003	VUORISTO, et al.	
		6,658,254	12-02-2003	PURDY, et al.	
		6,785,889	08-31-2004	WILLIAMS	
		6,829,696	12-07-2004	BALMER et al	
		6,920,455	07-19-2005	WESCHLER, Paul	
		6,998,985	02-14-2006	REISMAN et al	
		7,027,408	04-11-2006	NABKEL, et al.	
		7,092,696	08-15-2006	HOSAIN et al	
		7,158,792	01-02-2007	COOK et al	
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		7,280,818	10-09-2007	CLAYTON, Steve	
		7,324,447	01-29-2008	MORFORD	
		7,421,004	09/02/2008	FEHER, Kamilo	
		7,450,591	11-11-2008	KORLING, et al.	
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		7,574,731	08-11-2009	FASCENDA, Anthony C.	
		7,580,857	08-25-2009	VanFLEET, et al.	
		7,617,516	11-10-2009	HUSLAK, et al.	
		7,620,065	11-17-2009	FALARDEAU, Eric	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] "Number[4] "Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature	/Andrew Joseph Rudy/	Date Considered	04/10/2012

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

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours 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, 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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www.FormsWorkFlow.com

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PTO/SB/08a (07-09)
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 4

Complete if Known	
Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		7,668,903	02-23-2010	EDWARDS, et al.	
		7,720,505	05-18-2010	GOPI, et al.	
		7,848,768	12-07-2010	OMORI, et al.	
		7,868,778	01-11-2011	KENWRIGHT, David Norris	
		7,873,705	01-18-2011	KALISH, Dan	
		7,882,029	02/01/2011	WHITE, Craig R.	
		7,941,184	05-10-2011	PRENDERGAST et al	
		7,975,184	07-05-2011	GOFF et al	
		7,986,935	07-26-2011	D'SOUZA et al	
		8,005,459	08-23-2011	BALSILLIE, Jim	
		8,010,080	08-30-2011	THENTHIRUPERAI, et al.	
		8,010,081	08-30-2011	ROSKOWSKI, Steve	
		8,015,133	09-06-2011	WU, et al	
		8,015,234	09-06-2011	LUM et al	
		2002/0120540	08-29-2002	KENDE et al	
		2002/0131404	09-19-2002	MEHTA et al	
		2005/0254435	11-17-2005	MOAKLEY et al	
		2006/0014519	01-19-2006	MARSH et al	
		2006/0199608	09-07-2006	DUNN et al	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] "Number[4] "Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature	/Andrew Joseph Rudy/	Date Considered	04/10/2012

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 of 4

Complete if Known	
Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

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Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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Examiner Signature	/Andrew Joseph Rudy/	Date Considered	04/10/2012

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet	4	of	4

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Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		International Search Report and Written Opinion mailed March 16, 2010 from International Serial Number PCT/US2010/022235 filed January 27, 2010.	

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Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	1	of	4	Atty Docket No.	RALEP025

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Examiner Initials	CiteNo.	Document Number Number-Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
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				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	2	of	4	Atty Docket No.	RALEP025

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				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	3	of	4	Atty Docket No.	RALEP025

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				Examiner Name	Not Assigned
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	UUUUU.	US 2008/0229385	09-18-2008	FEDER et al.	
	VVVVV.	US 2008/0098062	04-24-2008	Balia	

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	1B	EP 1772988A1	04-11-2007	Huawei Technologies, Co., LTD.	
	1C	EP 1978772A1	10-08-2008	British Telecommunications	
	1D	WO 2007/053848	05-10-2007	Mobile Armor, LLC	
	1E	WO 2006/073837	07-13-2006	Symbol Technologies, Inc.	
	1F	WO 2004/028070	04-01-2004	Credant Technologies, Inc.	
	1G	WO 2004/095753	11-04-2004	Motorola Inc.	
	1H	WO 2003/014891	02-20-2003	The Boeing Company	
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	1L	WO 2008/017837	02-14-2008	Symbian Software	
	1M	WO 2008/099802	08-21-2008	NEC Corporation	
	1N	WO 2007/001833	01-04-2007	Symbol Technologies	
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	1P	WO 2007/069245	06-21-2007	Yoggie Security	
	1Q	WO 2008/066419	06-05-2008	Telefonaktiebolaget LM Ericsson	
	1R	WO 2006/050758	05-18-2006	Telefonaktiebolaget LM Ericsson	

Examiner	/Andrew Joseph Rudy/	Date Considered	04/10/2012

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				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	1	of	2	Atty Docket No.	RALEP025

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	2B	WO 2008/051379	05-02-2008	Verizon Services	
	2C	WO 2008/080139	07-03-2008	Integrated Mobile	
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NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T^2
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PTO/SB/08 (08-03)

Substitute for form 1449/PTO				*Complete if Known*	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	2	of	2	Atty Docket No.	RALEP025

Examiner	/Andrew Joseph Rudy/	Date Considered	04/10/2012

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T[2] = Applicant is to place a check mark here if English language Translation is attached

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

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

Application Number	12694445
Filing Date	2010-01-27
First Named Inventor	RALEIGH, Gregory G.
Art Unit	2431
Examiner Name	Not Yet Assigned
Attorney Docket Number	26WV-160502 [RALEP025]

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6651101		2003-11-18	GAI et al	
	2	7290283		2007-10-30	COPELAND III, John A.	
	3	7401338		2008-07-15	BOWEN et al	
	4	7197321		2007-03-27	ERSKINE et al	
	5	7516219		2009-04-07	MOGHADDAM et al	
	6	7647047		2010-01-12	MOGHADDAM et al	
	7	7929960		2011-04-19	MARTIN et al	
	8	7937069		2011-05-03	RASSAM, Frederic	

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	RALEIGH, Gregory G.
	Art Unit	2431
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	26WV-160502 [RALEP025]

	9	6563806		2003-05-13	YANO et al	
	10	6532235		2003-03-11	BENSON et al	
	11	7280816		2007-10-09	FRATTI et al	

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U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20090125619		2009-05-14	ANTANI, Snehal S.	
	2	20080212470		2008-09-04	CASTANEDA et al	
	3	20080183812		2008-07-31	PAUL et al	
	4	20060178918		2006-08-10	MIKURAK	
	5	20040103193		2004-05-27	PANDYA et al	
	6	20050183143		2005-08-18	ANDERHOLM et al	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	RALEIGH, Gregory G.
	Art Unit	2431
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	26WV-160502 [RALEP025]

	7	20070294395		2007-12-20	STRUB et al	
	8	20090287921		2009-11-19	ZHU et al	
	9	20060085543		2006-04-01	HRASTAR et al	
	10	20080059474		2008-03-01	LIM, Keng	
	11	20080066149		2008-03-01	LIM, Keng	
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	13	20080167033		2008-07-10	BECKERS, Michel	
	14	20070298764		2007-12-27	CLAYTON	

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FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	WO1999/065185A2-3	WO		1999-12-16	British Telecommunications Public Limited Company		☐

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	RALEIGH, Gregory G.
	Art Unit	2431
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	26WV-160502 [RALEP025]

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Author Unknown, "Data Roaming Tariffs - Transparency Measures." EUROPA - Europe's Information Society Thematic Portal website, date unknown.	☐
If you wish to add additional non-patent literature document citation information please click the Add button			

EXAMINER SIGNATURE			
Examiner Signature	/Andrew Joseph Rudy/	Date Considered	04/10/2012

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

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

Search Notes	Application/Control No.	Applicant(s)/Patent under Reexamination	
	12/694,445	RALEIGH, GREGORY G.	
	Examiner	Art Unit	
	ANDREW J. RUDY	3687	

SEARCHED			
Class	Subclass	Date	Examiner
370	468	4/10/2012	AJR
455	461	4/10/2012	AJR
705	30,34	4/10/2012	AJR

INTERFERENCE SEARCHED			
Class	Subclass	Date	Examiner

SEARCH NOTES (INCLUDING SEARCH STRATEGY)		
	DATE	EXMR
Continuity data reviewed.	4/10/2012	AJR
Inventor name search conducted.	4/10/2012	AJR
Bibliographic data sheet updated.	4/10/2012	AJR

PTO/SB/08a (07-09)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 4

Complete if Known	
Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		6,449,479	09-10-2002	SANCHEZ, Eduardo	
		6,603,969	08-05-2003	VUORISTO, et al.	
		6,658,254	12-02-2003	PURDY, et al.	
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		7,620,065	11-17-2009	FALARDEAU, Eric	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] "Number[4] "Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature		Date Considered	

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours 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, 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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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 4

Complete if Known	
Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		7,668,903	02-23-2010	EDWARDS, et al.	
		7,720,505	05-18-2010	GOPI, et al.	
		7,848,768	12-07-2010	OMORI, et al.	
		7,868,778	01-11-2011	KENWRIGHT, David Norris	
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		2006/0014519	01-19-2006	MARSH et al	
		2006/0199608	09-07-2006	DUNN et al	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] "Number[4] "Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature		Date Considered	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 3 of 4

Complete if Known	
Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		2007/0093243	04-26-2007	KAPADEKAR et al	
		2007/0259673	11-08-2007	WILLARS et al	
		2007/0263558	11-15-2007	SALOMONE	
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] "Number[4] "Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature		Date Considered	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 4 of 4

Complete if Known	
Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		International Search Report and Written Opinion mailed March 16, 2010 from International Serial Number PCT/US2010/022235 filed January 27, 2010.	

Examiner Signature		Date Considered	

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

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

To:
MICHAEL J. SCHALLOP
VAN PELT, YI & JAMES LLP
10050 N. FOOTHILL BLVD.
SUITE 200
CUPERTINO, CA 95014

PCT

NOTIFICATION OF TRANSMITTAL OF THE INTERNATIONAL SEARCH REPORT AND THE WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY, OR THE DECLARATION

(PCT Rule 44.1)

	Date of mailing *(day/month/year)* 16 MAR 2010
Applicant's or agent's file reference RALEP025PCT	**FOR FURTHER ACTION** See paragraphs 1 and 4 below
International application No. PCT/US 10/22235	International filing date *(day/month/year)* 27 January 2010 (27.01.2010)
Applicant HEADWATER PARTNERS I LLC	

1. ☒ The applicant is hereby notified that the international search report and the written opinion of the International Searching Authority have been established and are transmitted herewith.

   Filing of amendments and statement under Article 19:
   The applicant is entitled, if he so wishes, to amend the claims of the international application (see Rule 46):

   When? The time limit for filing such amendments is normally two months from the date of transmittal of the international search report.

   Where? Directly to the International Bureau of WIPO, 34 chemin des Colombettes 1211 Geneva 20, Switzerland, Facsimile No.: +41 22 338 8270

   For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith.

3. ☐ **With regard to the protest** against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

   ☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

   ☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. **Reminders**

   Shortly after the expiration of **18 months** from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90*bis*.1 and 90*bis*.3, respectively, before the completion of the technical preparations for international publication.

   The applicant may submit comments on an informal basis on the written opinion of the International Searching Authority to the International Bureau. The International Bureau will send a copy of such comments to all designated Offices unless an international preliminary examination report has been or is to be established. These comments would also be made available to the public but not before the expiration of 30 months from the priority date.

   Within **19 months** from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase **until 30 months** from the priority date (in some Offices even later); otherwise, the applicant must, **within 20 months** from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

   In respect of other designated Offices, the time limit of **30 months** (or later) will apply even if no demand is filed within 19 months.

   See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the *PCT Applicant's Guide*, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the ISA/US Mail Stop PCT, Attn: ISA/US Commissioner for Patents P.O. Box 1450, Alexandria, Virginia 22313-1450 Facsimile No. 571-273-3201	Authorized officer: Lee W. Young PCT Helpdesk: 571-272-4300 PCT OSP: 571-272-7774

Form PCT/ISA/220 (January 2004) *(See notes on accompanying sheet)*

PATENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference RALEP025PCT	FOR FURTHER ACTION	see Form PCT/ISA/220 as well as, where applicable, item 5 below.
International application No. PCT/US 10/22235	International filing date *(day/month/year)* 27 January 2010 (27.01.2010)	(Earliest) Priority Date *(day/month/year)* 28 January 2009 (28.01.2009)
Applicant HEADWATER PARTNERS I LLC		

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of 7 sheets.

☐ It is also accompanied by a copy of each prior art document cited in this report.

1. **Basis of the report**

a. With regard to the **language**, the international search was carried out on the basis of:

☒ the international application in the language in which it was filed.

☐ a translation of the international application into _____ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

b. ☐ This international search report has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43.6*bis*(a)).

c. ☐ With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, see Box No. I.

2. ☐ **Certain claims were found unsearchable** (see Box No. II).

3. ☐ **Unity of invention is lacking** (see Box No. III).

4. With regard to the **title**,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,

☒ the text is approved as submitted by the applicant.

☐ the text has been established, according to Rule 38.2, by this Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. With regard to the **drawings**,

a. the figure of the **drawings** to be published with the abstract is Figure No. 1

☒ as suggested by the applicant.

☐ as selected by this Authority, because the applicant failed to suggest a figure.

☐ as selected by this Authority, because this figure better characterizes the invention.

b. ☐ none of the figures is to be published with the abstract.

Form PCT/ISA/210 (first sheet) (July 2009)

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US 10/22235

A. CLASSIFICATION OF SUBJECT MATTER
IPC(8) - H04J 3/16 (2010.01)
USPC - 370/468
According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
USPC: 370/468

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched
USPC: 726/2; 370/477; 455/452.2 (keyword limited - see terms below)

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
PubWEST(PGPB, USPT, USOC, EPAB, JPAB); GOOGLE
Search Terms Used: Secure, paritlon, software, hardware, virtual, service profile, policy, usage, monitoring, billing, traffic, bandwidth, content, application, mobile, cellular, network.

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 2006/0026679 A1 (ZAKAS) 02 February 2006 (02.02.2006), entire document, especially; abstract, para [0015], [0016], [0032]-[0038], [0043]-[0045], [0056], [0065]-[0067].	1-25
Y	US 2008/0127304 A1 (GINTER et al.) 29 May 2008 (29.05.2008), entire document, especially; abstract, para [0373],[0388], [0395], [0414]-[0419], [0438], [0450], [0451], [0482], [0491], [0498], [0510], [0600], [0601], [0632], [0650], [1963], [2000].	1-25

☐ Further documents are listed in the continuation of Box C. ☐

* Special categories of cited documents:
"A" document defining the general state of the art which is not considered to be of particular relevance
"E" earlier application or patent but published on or after the international filing date
"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
"O" document referring to an oral disclosure, use, exhibition or other means
"P" document published prior to the international filing date but later than the priority date claimed
"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
"&" document member of the same patent family

Date of the actual completion of the international search	Date of mailing of the international search report
06 March 2010 (06.03.2010)	16 MAR 2010
Name and mailing address of the ISA/US Mail Stop PCT, Attn: ISA/US, Commissioner for Patents P.O. Box 1450, Alexandria, Virginia 22313-1450 Facsimile No. 571-273-3201	Authorized officer: Lee W. Young PCT Helpdesk: 571-272-4300 PCT OSP: 571-272-7774

Form PCT/ISA/210 (second sheet) (July 2009)

PATENT COOPERATION TREATY

From the
INTERNATIONAL SEARCHING AUTHORITY

To: MICHAEL J. SCHALLOP
VAN PELT, YI & JAMES LLP
10050 N. FOOTHILL BLVD.
SUITE 200
CUPERTINO, CA 95014

PCT

WRITTEN OPINION OF THE
INTERNATIONAL SEARCHING AUTHORITY

(PCT Rule 43*bis*.1)

Date of mailing *(day/month/year)*	16 MAR 2010
Applicant's or agent's file reference RALEP025PCT	**FOR FURTHER ACTION** See paragraph 2 below

International application No.	International filing date *(day/month/year)*	Priority date *(day/month/year)*
PCT/US 10/22235	27 January 2010 (27.01.2010)	28 January 2009 (28.01.2009)

International Patent Classification (IPC) or both national classification and IPC
IPC(8) - H04J 3/16 (2010.01)
USPC - 370/468

Applicant HEADWATER PARTNERS I LLC

1. This opinion contains indications relating to the following items:

- ☒ Box No. I Basis of the opinion
- ☐ Box No. II Priority
- ☐ Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- ☐ Box No. IV Lack of unity of invention
- ☒ Box No. V Reasoned statement under Rule 43*bis*.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- ☐ Box No. VI Certain documents cited
- ☐ Box No. VII Certain defects in the international application
- ☐ Box No. VIII Certain observations on the international application

2. **FURTHER ACTION**

If a demand for international preliminary examination is made, this opinion will be considered to be a written opinion of the International Preliminary Examining Authority ("IPEA") except that this does not apply where the applicant chooses an Authority other than this one to be the IPEA and the chosen IPEA has notified the International Bureau under Rule 66.1*bis*(b) that written opinions of this International Searching Authority will not be so considered.

If this opinion is, as provided above, considered to be a written opinion of the IPEA, the applicant is invited to submit to the IPEA a written reply together, where appropriate, with amendments, before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later.

For further options, see Form PCT/ISA/220.

3. For further details, see notes to Form PCT/ISA/220.

Name and mailing address of the ISA/US	Date of completion of this opinion	Authorized officer:
Mail Stop PCT, Attn: ISA/US Commissioner for Patents P.O. Box 1450, Alexandria, Virginia 22313-1450 Facsimile No. 571-273-3201	06 March 2010 (06.03.2010)	Lee W. Young PCT Helpdesk: 571-272-4300 PCT OSP: 571-272-7774

Form PCT/ISA/237 (cover sheet) (July 2009)

WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY

International application No.
PCT/US 10/22235

Box No. I Basis of this opinion

1. With regard to the **language**, this opinion has been established on the basis of:

   ☒ the international application in the language in which it was filed.

   ☐ a translation of the international application into _____ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

2. ☐ This opinion has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43*bis*.1(a))

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, this opinion has been established on the basis of a sequence listing filed or furnished:

   a. (means)

      ☐ on paper

      ☐ in electronic form

   b. (time)

      ☐ in the international application as filed

      ☐ together with the international application in electronic form

      ☐ subsequently to this Authority for the purposes of search

4. ☐ In addition, in the case that more than one version or copy of a sequence listing has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

5. Additional comments:

Form PCT/ISA/237 (Box No. I) (July 2009)

WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY

International application No.
PCT/US 10/22235

Box No. V **Reasoned statement under Rule 43*bis*.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Claims	1-25	YES
	Claims	None	NO
Inventive step (IS)	Claims	None	YES
	Claims	1-25	NO
Industrial applicability (IA)	Claims	1-25	YES
	Claims	None	NO

2. Citations and explanations:

Claims 1-25 lack an inventive step under PCT Article 33(3) as being obvious over US 2006/0026679 A1 to Zakas in view of US 2008/0127304 A1 to Ginter et al. (hereinafter 'Ginter').

As to claim 1, Zakas teaches a system, comprising: a processor of a communications device configured to: implement a service profile executed at least in part in a secure execution environment for assisting control of the communications device use of a service on a wireless network (para [0030], [0034], [0040]), wherein the service profile includes a plurality of service policy settings (para [0040], [0043]), and wherein the service profile is associated with a service plan that provides for access to the service on the wireless network (para [0040], [0043]); monitor use of the service based on the service profile (para [0014], [0016], [0045]). Zakas does not explicitly teach verifying the use of the service based on the monitored use of the service; and a memory of the communications device coupled to the processor and configured to provide the processor with instructions. However, Ginter teaches verifying the use of the service based on the monitored use of the service (para [0388], [0395], [0414]-[0419], [1963]); and a memory of the communications device coupled to the processor and configured to provide the processor with instructions (para [0482], [0600], [0601]). It would have been obvious to one skilled in the art to combine the teachings of Zakas with those of Ginter in order to provide a more efficient and flexible billing and traffic management system of user network services.

As to claim 2, Ginter teaches the use of the service is verified based at least in part on device based service usage information (para [0388], [0395], [0414]-[0419], [1963]).

As to claim 3, Zakas teaches the communications device is a mobile communications device or an intermediate networking device, and the service includes one or more Internet based services (para [0032], [0033]).

As to claim 4, Ginter teaches the communications device includes a modem, and the processor is located in the modem (para [0450], [0451]).

As to claim 5, Zakas teaches the communications device is a mobile communications device, and the service includes one or more Internet based services, and wherein the mobile communications device includes one or more of the following: a mobile phone, a PDA, an eBook reader, a music device, an entertainment/gaming device, a computer, laptop, a netbook, a tablet, and a home networking system (para [0032], [0033]).

As to claim 6, Zakas teaches the service plan allows for access to the service with service capabilities that are controlled based on one or more of the following: period of time, network address, service type, content type, application type, bandwidth, and data usage (para [0016], [0017], [0040]).

As to claim 7, Zakas teaches the service policy settings include one or more of the following: access control settings, traffic control settings (para [0032]), billing system settings, user notification with acknowledgement settings, user notification with synchronized service usage information, user privacy settings, user preference settings, authentication settings, admission control settings, application access settings, content access settings, transaction settings, and network or device management communication settings (para [0032]).

As to claim 8, Ginter teaches the secure execution environment includes a protected device assisted service execution partition (para [0373], [2000]).

As to claim 9, Ginter teaches the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part as a hardware partition (para [0438]).

As to claim 10, Ginter teaches the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part as a software partition (para [0438]).

As to claim 11, Ginter teaches the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part in a virtual machine executed on the processor (para [0373]).

-- Please See Supplemental Page --

WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY

International application No.
PCT/US 10/22235

Supplemental Box

In case the space in any of the preceding boxes is not sufficient.
Continuation of:
Box No. V.2. Citations and explanations:

As to claim 12, Zakas teaches the secure execution environment includes a protected device assisted service execution partition, and the processor is further configured to: execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller (para [0030]).

As to claim 13, Zakas teaches the secure execution environment includes a protected device assisted service execution partition, and the processor is further configured to: execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include a device agent for providing a service usage measure (para [0030], [0038]).

As to claim 14, Zakas teaches the secure execution environment includes a protected device assisted service execution partition, and the processor is further configured to: execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in secure communication with a server executing a service controller, and wherein the secure communication with the server executing the service controller includes encrypted communications (para [0016], [0053]).

As to claim 15, Ginter teaches the communications device includes a modem, and the processor is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware and/or software partition, and wherein the processor is further configured to: execute one or more device assisted service agents in the secure modem execution partition, wherein the device assisted service agents executed in the secure modem execution partition are in communication with a server executing a service controller (para [0373], [0451], [2000]).

As to claim 16, Zakas teaches the communications device includes a modem, and the processor is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware and/or software partition, and wherein the processor is further configured to: execute one or more device assisted service agents in the secure modem execution partition, wherein the device assisted service agents executed in the secure modem execution partition are in secure communication with a server executing a service controller, and wherein the secure communication with the server executing the service controller includes encrypted communications (para [0016], [0053]).

As to claim 17, Ginter teaches the communications device includes a modem, and the processor is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware and/or software partition, and wherein the processor is further configured to: execute one or more device assisted service agents in the secure modem execution partition, wherein one or more device assisted service agents executed in the secure modem execution partition include a modem agent for providing service usage measure (para [0388], [0395], [0414]-[0419], [1963]).

As to claim 18, Ginter teaches the processor of the communications device is further configured to: execute one or more device assisted service agents in a kernel execution partition (para [0510], [0632]); and execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller (para [0373], [0650]).

As to claim 19, Ginter teaches the communications device is further configured to: execute one or more device assisted service agents in an application execution partition (para [0373], [2000]); execute one or more device assisted service agents in a kernel execution partition (para [0510], [0632]); and execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller (para [0373], [0650]).

As to claim 20, Ginter teaches the processor of the communications device is further configured to: execute one or more device assisted service agents in an application execution partition (para [0373], [2000]); and execute one or more device assisted service agents in a kernel execution partition (para [0510], [0632]); execute one or more device assisted service agents in a modem execution partition (para [0450], [0451]); execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller (para [0373], [0650]).

As to claim 21, Ginter teaches the communications device is further configured to: execute one or more device assisted service agents in an application execution partition (para [0373], [2000]); and execute one or more device assisted service agents in a kernel execution partition (para [0510], [0632]); execute one or more device assisted service agents in a modem execution partition (para [0450], [0451]); execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller, and wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent (para [0388], [0395], [0414]-[0419], [1963]).

-- Please See Next Page --

WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY

International application No.
PCT/US 10/22235

Supplemental Box

In case **the space in any of the preceding boxes is not sufficient.**
Continuation of:
-- Previous Supplemental Page --

As to claim 22, Ginter teaches the processor of the communications device is further configured to: execute one or more device assisted service agents in an application execution partition (para [0373], [2000]); execute one or more device assisted service agents in a kernel execution partition (para [0510], [0632]); execute one or more device assisted service agents in a modem execution partition, wherein the modem execution partition is in communication with the protected device assisted execution partition using a modem local channel (para [0450], [0451], [0491], [0498]); and execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller, and wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent (para [0388], [0395], [0414]-[0419], [1963]).

As to claim 23, Ginter teaches the processor of the communications device is further configured to: execute one or more device assisted service agents in an application execution partition (para [0373], [2000]); execute one or more device assisted service agents in a kernel execution partition (para [0510], [0632]); execute one or more device assisted service agents in a modem execution partition, wherein the modem execution partition is in communication with the protected device assisted execution partition using a modem local channel (para [0450], [0451], [0491], [0498]), and wherein the one or more device assisted service agents in the modem execution partition include a service usage measure agent (para [0388], [0395], [0414]-[0419], [1963]); and execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition in communication with a server executing a service controller, and wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent (para [0388], [0395], [0414]-[0419], [1963]).

As to claim 24, Zakas teaches a method, comprising: implementing a service profile executed at least in part in a secure execution environment of a processor of a communications device for assisting control of the communications device use of a service on a wireless network (para [0030], [0034], [0040]), wherein the service profile includes a plurality of service policy settings (para [0040], [0043]), and wherein the service profile is associated with a service plan that provides for access to the service on the wireless network (para [0040], [0043]); and monitoring use of the service based on the service profile (para [0014], [0016], [0045]). Zakas does not explicitly teach verifying the use of the service based on the monitored use of the service. However, Ginter teaches verifying the use of the service based on the monitored use of the service (para [0388], [0395], [0414]-[0419], [1963]). It would have been obvious to one skilled in the art to combine the teachings of Zakas with those of Ginter in order to provide a more efficient and flexible billing and traffic management system of user network services.

As to claim 25, Zakas teaches a computer program product, the computer program product being embodied in a computer readable storage medium and comprising computer instructions for: implementing a service profile executed at least in part in a secure execution environment of a processor of a communications device for assisting control of the communications device use of a service on a wireless network (para [0030], [0034], [0040]), wherein the service profile includes a plurality of service policy settings (para [0040], [0043]), and wherein the service profile is associated with a service plan that provides for access to the service on the wireless network (para [0040], [0043]); and monitoring use of the service based on the service profile (para [0014], [0016], [0045]). Zakas does not explicitly teach verifying the use of the service based on the monitored use of the service. However, Ginter teaches verifying the use of the service based on the monitored use of the service (para [0388], [0395], [0414]-[0419], [1963]). It would have been obvious to one skilled in the art to combine the teachings of Zakas with those of Ginter in order to provide a more efficient and flexible billing and traffic management system of user network services.

Claims 1-25 have industrial applicability as defined by PCT Article 33(4), because the subject matter can be made or used in industry.

Electronic Acknowledgement Receipt

EFS ID:	11989824
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	69849
Filer:	Marc A. Sockol/Linda Brost
Filer Authorized By:	Marc A. Sockol
Attorney Docket Number:	26WV-160502 [RALEP025]
Receipt Date:	02-FEB-2012
Filing Date:	27-JAN-2010
Time Stamp:	20:26:27
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		160502-RALEP025-IDS-020212.pdf	530752 df2efdbba31fc09a9871c3f2dbaac7508f941410	yes	15

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Transmittal Letter	1	1
	Miscellaneous Incoming Letter	2	3
	Information Disclosure Statement (IDS) Form (SB08)	4	7
	Non Patent Literature	8	15
Warnings:			
Information:			
	Total Files Size (in bytes):	530752	

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

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

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

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

PTO/SB/21 (07-09)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	15

Application Number	12/694,445
Filing Date	January 27, 2010
First Named Inventor	Gregory G. Raleigh
Art Unit	2435 Conf. No. 6030
Examiner Name	Nirav B. Patel
Attorney Docket Number	26WV-160502 [RALEP025]

ENCLOSURES *(Check all that apply)*

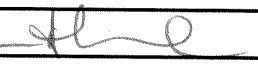
- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment/Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement with PTO/SB/08a/b (6 pgs.)
- ☐ Certified Copy of Priority Document(s)
- ☐ Reply to Missing Parts/ Incomplete Application
- ☐ Reply to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation, Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
- ☐ Landscape Table on CD
- ☐ After Allowance Communication to TC
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC **(Appeal Notice, Brief, Reply Brief)**
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please Identify below):

  Copy of International Search Report and Written Opinion for PCT/US2010/022235 (8 pgs.)

Remarks

You are hereby authorized to charge any additional fee required or credit any overpayment to Deposit Account No. 50-4561.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Sheppard, Mullin, Richter & Hampton LLP Customer No. 69849		
Signature			
Printed name	Marc A. Sockol		
Date	February 2, 2012	Reg. No.	40,823

CERTIFICATE OF ELECTRONIC TRANSMISSION

I hereby certify that this correspondence is being filed electronically via EFS-Web addressed to the Commissioner for Patents on the date shown below:

Signature			
Typed or printed name	Linda K. Brost	Date	February 2, 2012

This collection of information is required by 37 CFR 1.5. 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 2 hours 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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Examiner:
Gregory G. Raleigh	Nirav B. Patel
Serial No.: 12/694,445	Art Unit: 2435
Filed: January 27, 2010	Conf. No.: 6030
Title: Security Techniques for Device Assisted Services	

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

INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 C.F.R. §§1.97(b)

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56 and pursuant to 37 CFR §§1.97-1.98, Applicant hereby notifies the U.S. Patent and Trademark Office of the references listed on the enclosed Form PTO-SB/08A. Pursuant to the USPTO's waiver of the requirements under 37 CFR 1.98(a)(2)(i) for submitting a copy of each cited U.S. patent, we are not submitting copies of U.S. patents and/or patent publications cited.

The present Information Disclosure Statement is being filed more than three months after the filing date but before receiving the first Office Action. Accordingly, no fee or certification is needed.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant reserves the right to dispute any of the listed documents as prior art during examination. Furthermore, Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the

present application. The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other material information may exist.

The Examiner is requested to initial the enclosed Form PTO/SB/08A and return a copy thereof to the undersigned.

No fee is believed to be due relative to this submission, but if for any reason an insufficient fee has been paid, please charge the insufficiency to Deposit Account No. **50-4561**.

Respectfully submitted,

Date: February 2, 2012

By: _____

Marc A. Sockol, Reg. No. 40,823
Attorney for Applicants
Customer Number 69849
Sheppard, Mullin, Richter & Hampton LLP
379 Lytton Avenue
Palo Alto, CA 94301-1432
Telephone: (650) 815-2600

CERTIFICATE OF ELECTRONIC TRANSMISSION

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

Date: February 2, 2012 By: Linda K. Brost

Linda K. Brost

PTO/SB/08a (01-10)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

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

Application Number	12694445
Filing Date	2010-01-27
First Named Inventor	RALEIGH, Gregory G.
Art Unit	2431
Examiner Name	Not Yet Assigned
Attorney Docket Number	26WV-160502 [RALEP025]

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6651101		2003-11-18	GAI et al	
	2	7290283		2007-10-30	COPELAND III, John A.	
	3	7401338		2008-07-15	BOWEN et al	
	4	7197321		2007-03-27	ERSKINE et al	
	5	7516219		2009-04-07	MOGHADDAM et al	
	6	7647047		2010-01-12	MOGHADDAM et al	
	7	7929960		2011-04-19	MARTIN et al	
	8	7937069		2011-05-03	RASSAM, Frederic	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	RALEIGH, Gregory G.
	Art Unit	2431
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	26WV-160502 [RALEP025]

	9	6563806		2003-05-13	YANO et al	
	10	6532235		2003-03-11	BENSON et al	
	11	7280816		2007-10-09	FRATTI et al	

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

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20090125619		2009-05-14	ANTANI, Snehal S.	
	2	20080212470		2008-09-04	CASTANEDA et al	
	3	20080183812		2008-07-31	PAUL et al	
	4	20060178918		2006-08-10	MIKURAK	
	5	20040103193		2004-05-27	PANDYA et al	
	6	20050183143		2005-08-18	ANDERHOLM et al	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	RALEIGH, Gregory G.
	Art Unit	2431
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	26WV-160502 [RALEP025]

	7	20070294395		2007-12-20	STRUB et al	
	8	20090287921		2009-11-19	ZHU et al	
	9	20060085543		2006-04-01	HRASTAR et al	
	10	20080059474		2008-03-01	LIM, Keng	
	11	20080066149		2008-03-01	LIM, Keng	
	12	20080066150		2008-03-01	LIM, Keng	
	13	20080167033		2008-07-10	BECKERS, Michel	
	14	20070298764		2007-12-27	CLAYTON	

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

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	WO1999/065185A2-3	WO		1999-12-16	British Telecommunications Public Limited Company		☐

If you wish to add additional Foreign Patent Document citation information please click the Add button

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	RALEIGH, Gregory G.
	Art Unit	2431
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	26WV-160502 [RALEP025]

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Author Unknown, "Data Roaming Tariffs - Transparency Measures." EUROPA - Europe's Information Society Thematic Portal website, date unknown.	☐
If you wish to add additional non-patent literature document citation information please click the Add button			

EXAMINER SIGNATURE			
Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	12694445
	Filing Date	2010-01-27
	First Named Inventor	RALEIGH, Gregory G.
	Art Unit	2431
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	26WV-160502 [RALEP025]

CERTIFICATION STATEMENT

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

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

OR

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

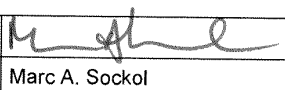
☐ See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature		Date (YYYY-MM-DD)	2011-07-19
Name/Print	Marc A. Sockol	Registration Number	40,823

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

Electronic Acknowledgement Receipt

EFS ID:	10554767
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	69849
Filer:	Marc A. Sockol/Linda Brost
Filer Authorized By:	Marc A. Sockol
Attorney Docket Number:	RALEP025
Receipt Date:	19-JUL-2011
Filing Date:	27-JAN-2010
Time Stamp:	19:44:51
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		160502-RALEP025-IDS-071911.pdf	430985 b2d6f566e7d2151a5167a8dd0e8aa65f4ba9ee7c	yes	14

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Information Disclosure Statement (IDS) Form (SB08)	1	6
	Non Patent Literature	7	14

Warnings:					
Information:					
2	Foreign Reference	WO1999-065185A2andA3.pdf	1952852 b4b22a6a3b435dba71663391f5ac019eb0e4ba7f	no	56
Warnings:					
Information:					
		Total Files Size (in bytes):	2383837		

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

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

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

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

UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025

CONFIRMATION NO. 6030

69849
SHEPPARD, MULLIN, RICHTER & HAMPTON LLP
390 Lytton Avenue
Palo Alto, CA 94301

POA ACCEPTANCE LETTER

OC000000047371325

Date Mailed: 04/28/2011

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 04/20/2011.

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.

/fstephanos/

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

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

APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025

CONFIRMATION NO. 6030

21912
VAN PELT, YI & JAMES LLP
10050 N. FOOTHILL BLVD #200
CUPERTINO, CA 95014

POWER OF ATTORNEY NOTICE

OC000000047371310

Date Mailed: 04/28/2011

NOTICE REGARDING CHANGE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 04/20/2011.

- 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).

/fstephanos/

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

PTO/SB/80 (11-08)
Approved for use through 11/30/2011. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

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

I hereby appoint:

☒ Practitioners associated with the Customer Number: 69849

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: 69849

OR

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

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

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 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: 18 MARCH, 2011
Name	David R. Johnson	Telephone: 650-517-2782
Title	Chief Financial Officer	

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.

Privacy Act Statement

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

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

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

Electronic Acknowledgement Receipt

EFS ID:	9924506
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Marc A. Sockol/Linda Brost
Filer Authorized By:	Marc A. Sockol
Attorney Docket Number:	RALEP025
Receipt Date:	20-APR-2011
Filing Date:	27-JAN-2010
Time Stamp:	20:37:16
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		160502POAand3-73bStmt042011.pdf	155406 870b80b6344ff60904bdd5e2b8cc3866f3912ea	yes	4

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Assignee showing of ownership per 37 CFR 3.73(b).	1	2
	Power of Attorney	3	4
Warnings:			
Information:			
	Total Files Size (in bytes):	155406	

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

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

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

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

PTO/SB/96 (07-09)
Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Gregory G. Raleigh

Application No./Patent No.: 12/694,445 Filed/Issue Date: January 27, 2010

Titled: Security Techniques for Device Assisted Services

Headwater Partners I, LLC , a limited liability company

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

states that it is:

1. [X] 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. [X] 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 024248, Frame 0112, 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: _____ To: _____

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

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

2. From: _____ To: _____

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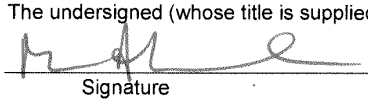
Reel _____, Frame _____, or for which a copy thereof is attached.

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

[X] 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.



Signature — April 20, 2011 (Date)

Marc A. Sockol, Reg. No. 40,823 (Printed or Typed Name) — Attorney of Record (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.

Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	1	of	1	Atty Docket No.	RALEP025

U.S. Patent Documents					
Examiner Initials	Cite No.	Document Number Number-Kind Code *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A.	US 2003/0088671	05-08-2003	KLINKER et al.	
	B.	US 2007/0248100	10-25-2007	ZUBERI et al.	
	C.	US 2008/0130534	06-05-2008	Tazuko Tomioka	
	D.	US 2006/0236095	10-19-2006	SMITH et al.	
	E.	US 2009/0054030	02-26-2009	Golds	
	F.	US 6,952,428	10-04-2005	NECKA et al.	
	G.	US 2010/0043068	02-18-2010	VARADHAN et al.	
	H.	US 2010/0071053	03-18-2010	ANSARI et al.	
	I.	US 2003/0005112	01-03-2003	Krautkremer	
	J.	US 2006/0045245	03-02-2006	AARON et al.	
	K.	US 2007/0076616	04-05-2007	NGO et al.	
	L.	US 2006/0190314	08-24-2006	Hernandez	
	M.	US 2009/0271514	10-29-2009	THOMAS et al.	
	N.	US 6,684,244	01-27-2004	GOLDMAN et al.	
	O.	US 2005/0055291	03-10-2005	BEVENTE et al.	
	P.	US 2006/0019632	01-26-2006	CUNNINGHAM et al.	
	Q.	US 2005/0238046	10-27-2005	HASSAN et al.	
	R.	US 5,577,100	11-19-1996	McGREGOR et al.	
	S.	US 6,198,915	03-06-2001	McGREGOR et al.	
	T.	US 6,650,887	11-18-2003	McGREGOR et al.	
	U.	US 7,245,901	07-17-2007	McGREGOR et al.	
	V.	US 7,373,136	05-13-2008	WATLER et al.	
	W.	US 6,725,031	04-20-2004	WATLER et al.	
	X.	US 2002/0022472	02-21-2002	WATLER et al.	
	Y.	US 6,532,579	03-11-2003	SATO et al.	

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Examiner Initials	Cite No.	Foreign Patent Document Country Code–Number–Kind Code *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	Z.	WO 2007/018363	08-02-2006	Upresto, Inc.	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T^2
	AA.		
	BB.		

Examiner	Date Considered

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T^2 = Applicant is to place a check mark here if English language Translation is attached

Electronic Acknowledgement Receipt

EFS ID:	8591780
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Michael J. Schallop/Veronica Pula
Filer Authorized By:	Michael J. Schallop
Attorney Docket Number:	RALEP025
Receipt Date:	08-OCT-2010
Filing Date:	27-JAN-2010
Time Stamp:	19:26:19
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	RALEP025_IDS_Before_1st_OA.pdf	56034 b36609e32bb1573319e137a68cec19f5bb392ab0	no	2
Warnings:					
Information:					

2	Information Disclosure Statement (IDS) Filed (SB/08)	RALEP025_IDS_SB08_before_1st_OA_2_.pdf	100999 c810c93eb0d29450acf535f898b80e3881e18465	no	1
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
3	Foreign Reference	RALE_Foreign_Ref_WO2007018363.pdf	1322623 37b720bd7d61efc44073aef18cbf624bab5e7d3b	no	37
Warnings:					
Information:					
		Total Files Size (in bytes):	1479656		

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

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

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

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

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor:	Gregory G. Raleigh	Examiner:	Not Assigned
Application No.:	12/694,445	Art Unit:	2614
Filed:	January 27, 2010	Docket No.:	RALEP025
Title:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§1.56 AND 1.97(b) BEFORE MAILING OF A FIRST OFFICE ACTION

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

Dear Sir:

The references listed in the attached PTO SB/08, may be material to examination of the above-identified patent application. Applicants disclose these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56 and 1.97. The Examiner is requested to make these references of official record in this application. Copies of the cited references are provided to the extent required by 37 CFR §1.98 and any applicable waivers.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

This Information Disclosure Statement is being filed (1) with the above-referenced application or (2) within three months of the filing date of the above-referenced application or (3) before the mailing date of a first Office Action on the merits or (4) before the mailing date of a first Office Action after filing of a Request for Continued Examination. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-0685 (Order No. RALEP025).

Respectfully submitted,
VAN PELT, YI & JAMES LLP

/Michael J. Schallop/

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Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
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Sheet	1	of	4	Atty Docket No.	RALEP025

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Examiner Initials	CiteNo.	Document Number Number-Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A.	US 2006/0048223	03-02-2006	LEE et al.	
	B.	US 6,965,667	11-15-2005	TRABANDT et al.	
	C.	US 2008/0268813	10-13-2008	Stephane H. Maes	
	D.	US 2007/0255848	11-01-2007	SEWALL et al.	
	E.	US 2008/0039102	02-14-2008	SEWALL et al.	
	F.	US 2006/0233108	10-19-2006	Murali R. Krishnan	
	G.	US 5,892,900	04-06-1999	GINTER et al.	
	H.	US 7,403,763	07-22-2008	Stephane H. Maes	
	I.	US 7,317,699	01-08-2008	GODFREY et al.	
	J.	US 7,353,533	04-1-2008	WRIGHT et al.	
	K.	US 7,322,044	01-22-2008	Scott E. Hrastar	
	L.	US 7,058,968	06-06-2006	ROWLAND et al.	
	M.	US 7,042,988	05-09-2006	JUITT et al.	
	N.	US 7,418,253	08-26-2008	Alan Kavanah	
	O.	US 7,242,920	04-10-2007	Robert P. Morris	
	P.	US 6,148,336	11-14-2000	THOMAS et al.	
	Q.	US 7,317,699	01-08-2008	GODFREY et al.	
	R.	US 7,325,037	01-29-2008	Karen L. Lawson	
	S.	US 6,141,686	10-31-2000	JACKOWSKI et al.	
	T.	US 2004/0044623	03-04-2004	WAKE et al.	
	U.	US 2006/0040642	02-23-2006	BORIS et al.	
	V.	US 2008/0229388	09-18-2008	Stephane H. Maes	
	W.	US 2008/0120688	05-22-2008	QIU et al.	
	X.	US 2003/0236745	12-25-2003	HARTSELL et al.	
	Y.	US 2008/0052387	02-28-2008	HEINZ et al.	
	Z.	US 2004/0019539	01-29-2004	RAMAN et al.	
	AA.	US 2004/0236547	11-25-2004	RAPPAPORT et al.	
	BB.	US 2002/0199001	12-26-2002	WENOCUR et al.	
	CC.	US 2004/0073672	04-15-2004	Fascenda	
	DD.	US 2006/0143098	06-29-2006	Lazaridis	
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	MM.	US 2006/0026679	02-02-2006	Zakas	
	NN.	US 2008/0082643	04-03-2008	STORRIE et al.	

Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
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				Examiner Name	Not Assigned
Sheet	2	of	4	Atty Docket No.	RALEP025

	OO.	US 2007/0140275	06-21-2007	BOWMAN et al.	
	PP.	US 2003/0182435	09-25-2003	REDLICH et al.	
	QQ.	US 6,263,055	07-17-2001	GARLAND et al.	
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	SS.	US 2008/0318550	12-25-2008	Deatley	
	TT.	US 2008/0298230	12-01-2008	LUFT et al.	
	UU.	US 2007/0220251	09-20-2007	ROSENBERG et al.	
	VV.	US 2007/0100981	05-03-2007	ADAMCZYK et al.	
	WW.	US 2007/0022289	01-25-2007	ALT et al.	
	XX.	US 2008/0095339	04-24-2008	ELLIOTT et al.	
	YY.	US 2006/0233166	10-19-2006	BOU-DIAB et al.	
	ZZ.	US 2008/0168523	07-10-2008	ANSARI et al.	
	AAA.	US 2006/0183462	08-17-2006	KOLEHAINEN et al.	
	BBB.	US 2006/0165060	07-27-2006	Dua	
	CCC.	US 2008/0177998	07-24-2008	APSANGI et al.	
	DDD.	US 2008/0064367	03-13-2008	NATH et al.	
	EEE.	US 2004/0168052	08-26-2004	CLISHAM et al.	
	FFF.	US 2005/0198377	09-08-2005	FERGUSON et al.	
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	III.	US 2005/0055309	03-10-2005	WILLIAMS et al.	
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	QQQ.	US 2004/0127200	07-01-2004	SHAW et al.	
	RRR.	US 2005/0166043	07-28-2005	ZHANG et al.	
	SSS.	US 7,349,695	03-25-2008	OOMMEN et al.	
	TTT.	US 2004/0098715	05-20-2004	AGHERA et al.	
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	VVV.	US 2006/0206904	09-14-2006	WATKINS et al.	
	WWW.	US 2005/0060266	03-17-2005	DEMELLO et al.	
	XXX.	US 6,047,268	04-04-2000	BARTOLI et al.	
	YYY.	US 6,639,975	10-28-2003	O'NEAL et al.	
	ZZZ.	US 6,539,082	03-25-2003	LOWE et al.	
	AAAA.	US 2008/0134330	06-05-2008	KAPOOR et al.	
	BBBB.	US 2004/0047358	03-11-2004	CHEN et al.	
	CCCC.	US 2007/0274327	11-29-2007	KAARELA et al.	
	DDDD.	US 2003/0161265	08-28-2003	CAO et al.	

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				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	3	of	4	Atty Docket No.	RALEP025

	EEEE.	US 2008/0305793	12-11-2008	GALLAGHER et al.	
	FFFF.	US 2008/0083013	04-03-2008	SOLIMAN et al.	
	GGGG.	US 2004/0030705	02-12-2004	BOWMAN-AMUAH et al.	
	HHHH.	US 6,574,321	06-03-2003	COX et al.	
	IIII.	US 2006/0291477	12-28-2006	CROAK et al.	
	JJJJ.	US 2005/0266880	12-01-2005	Gupta	
	KKKK.	US 2003/0229900	12-11-2003	Reisman	
	LLLL.	US 2007/0198656	08-23-2007	MAZZAFERRI et al.	
	MMMM.	US 2003/0182420	09-25-2003	JONES et al.	
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	OOOO.	US 2005/0250508	11-10-2005	GUO et al.	
	PPPP.	US 2008/0127304	05-29-2008	GINTER et al.	
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	TTTT.	US 2008/0183	07-31-2008	PAUL et al.	
	UUUU.	US 2007/0226225	09-27-2007	YIU et al.	
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	BBBBB.	US 2002/0138601	09-26-2002	PIPONIUS et al.	
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	DDDDD.	US 2006/0034256	02-16-2006	ADDAGATLA et al.	
	EEEEE.	US 2005/0228985	10-13-2005	YLIKOSKI et al.	
	FFFFF.	US 2007/0036312	02-15-2007	CAI et al.	
	GGGGG.	US 2004/0082346	04-29-2004	SKYTT et al.	
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	IIIII.	US 2008/0005561	01-03-2008	BROWN et al.	
	JJJJJ.	US 2007/0101426	05-03-2007	LEE et al.	
	KKKKK.	US 2008/0222692	09-11-2008	ANDERSSON et al.	
	LLLLL.	US 2008/0160958	04-03-2008	ABICHANDANI et al.	
	MMMMM	US 2006/0048223	03-02-2006	LEE et al.	
	NNNNN.	US 2007/0104126	5-10-2007	CALHOUN et al.	
	OOOOO.	US 2007/0243862	10-18-2007	COSKUN et al.	
	PPPPP.	US 2008/0109679	05-08-2008	WRIGHT et al.	
	QQQQQ.	US 2006/0242685	10-26-2006	HEARD et al.	
	RRRRR.	US 2008/0130656	06-05-2008	KIM et al.	
	SSSSS.	US 2005/0021995	01-27-2005	LAL et al.	
	TTTTT.	US 2008/0162704	04-03-2008	POPLETT et al.	

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				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	4	of	4	Atty Docket No.	RALEP025

	UUUUU.	US 2008/0229385	09-18-2008	FEDER et al.	
	VVVVV.	US 2008/0098062	04-24-2008	Balia	

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Examiner Initials	Cite No.	Foreign Patent Document Country Code–Number–Kind Code (known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1A	WO 2006/130960	12-14-2006	Mobidia, Inc.	
	1B	EP 1772988A1	04-11-2007	Huawei Technologies, Co., LTD.	
	1C	EP 1978772A1	10-08-2008	British Telecommunications	
	1D	WO 2007/053848	05-10-2007	Mobile Armor, LLC	
	1E	WO 2006/073837	07-13-2006	Symbol Technologies, Inc.	
	1F	WO 2004/028070	04-01-2004	Credant Technologies, Inc.	
	1G	WO 2004/095753	11-04-2004	Motorola Inc.	
	1H	WO 2003/014891	02-20-2003	The Boeing Company	
	1I	WO 2007/107701	09-27-2007	British Telecommunications	
	1J	EP 1463238	09-29-2004	Alcatel	
	1K	WO 2008/080430	07-10-2008	Telecom Italia S.P.A	
	1L	WO 2008/017837	02-14-2008	Symbian Software	
	1M	WO 2008/099802	08-21-2008	NEC Corporation	
	1N	WO 2007/001833	01-04-2007	Symbol Technologies	
	1O	EP 1739518	06-29-2005	Research In Motion	
	1P	WO 2007/069245	06-21-2007	Yoggie Security	
	1Q	WO 2008/066419	06-05-2008	Telefonaktiebolaget LM Ericsson	
	1R	WO 2006/050758	05-18-2006	Telefonaktiebolaget LM Ericsson	

Examiner	Date Considered

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T^2 = Applicant is to place a check mark here if English language Translation is attached

Electronic Acknowledgement Receipt	
EFS ID:	8297275
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Michael J. Schallop/Veronica Pula
Filer Authorized By:	Michael J. Schallop
Attorney Docket Number:	RALEP025
Receipt Date:	27-AUG-2010
Filing Date:	27-JAN-2010
Time Stamp:	16:04:48
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	RALEP025_IDS_Before_1st_OA.pdf	56034 b36609e32bb1573319e137a68cec19f5bb392ab0	no	2
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Information:					

2	Information Disclosure Statement (IDS) Filed (SB/08)	RALEP025_IDS_SB08_1.pdf	124560 04503647c440420ab8d5330a24057b2b76e1deea	no	4
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This is not an USPTO supplied IDS fillable form					
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This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

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

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

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

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor:	Gregory G. Raleigh	Examiner:	Not Assigned
Application No.:	12/694,445	Art Unit:	2614
Filed:	January 27, 2010	Docket No.:	RALEP025
Title:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§1.56 AND 1.97(b) BEFORE MAILING OF A FIRST OFFICE ACTION

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

Dear Sir:

The references listed in the attached PTO SB/08, may be material to examination of the above-identified patent application. Applicants disclose these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56 and 1.97. The Examiner is requested to make these references of official record in this application. Copies of the cited references are provided to the extent required by 37 CFR §1.98 and any applicable waivers.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

This Information Disclosure Statement is being filed (1) with the above-referenced application or (2) within three months of the filing date of the above-referenced application or (3) before the mailing date of a first Office Action on the merits or (4) before the mailing date of a first Office Action after filing of a Request for Continued Examination. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-0685 (Order No. RALEP025).

Respectfully submitted,
VAN PELT, YI & JAMES LLP

/Michael J. Schallop/

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Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	1	of	1	Atty Docket No.	RALEP025

U.S. Patent Documents					
Examiner Initials	CiteNo.	Document Number Number-Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	3AA	US 7,747,240	06-29-2010	BRISCOE et al.	
	3BB	US 2003/0088671	05-08-2003	KINKER et al.	
	3CC	US 2007/0248100	10-25-2007	ZUBERI et al.	
	3DD	US 2008/0130534	06-05-2008	Tazuko Tomioka	

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No.	Foreign Patent Document Country Code–Number–Kind Code	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	3A	WO 2007/014630	02-08-2007	Telefonaktiebolaget LM Ericsson	
	3B	WO 2006/004467	01-12-2006	Telefonaktiebolaget LM Ericsson	
	3M	WO 1999/065185	12-16-1999	British Telecommunications	

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T^2
	3C	KNIGHT et al., Layer 2 and 3 Virtual Private Networks: Taxonomy, Technology, and Standardization Efforts, IEEE Communications Magazine, June 2004	
	3D	KOUTSOPOULOU et al., Middleware Platform for the Support of Charging Reconfiguration Actions, 2005	
	3E	NILSSON et al., A Novel MAC Scheme for Solving the QoS Parameter Adjustment Problem in IEEE802.11e EDCA, February 2006	
	3F	Author Unknown, Overview of GSM, GPRS, and UMTS, Chapter 2, November 4, 2008	
	3G	CHAOUCHI et al., Policy Based Networking in the Integration Effort Of 4G Networks and Services, 2004 IEEE	
	3H	ZHU et al., A Survey of Quality of Service in IEEE 802.11 Networks, IEEE Wireless Communications, August 2004	
	3I	KYRIAKAKOS et al., Ubiquitous Service Provision in Next Generation Mobile Networks, Proceedings of the 13th IST Mobile and Wireless Communications Summit, Lyon, France, June 2004	
	3J	FAROOQ et al., An IEEE 802.16 WiMax Module for the NS-3 Simulator, March 2-6, 2009	
	3K	Author Unknown, HP, IP Multimedia Services Charging, A White Paper from HP, January 2006	
	3L	Author Unknown, Kindle™ User's Guide 3rd Edition, Copyright 2004-2009	

Examiner	Date Considered

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T^2 = Applicant is to place a check mark here if English language Translation is attached

Electronic Acknowledgement Receipt

EFS ID:	8297985
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Michael J. Schallop/Veronica Pula
Filer Authorized By:	Michael J. Schallop
Attorney Docket Number:	RALEP025
Receipt Date:	27-AUG-2010
Filing Date:	27-JAN-2010
Time Stamp:	16:08:39
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111
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National Stage of an International Application under 35 U.S.C. 371
If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor:	Gregory G. Raleigh	Examiner:	Not Assigned
Application No.:	12/694,445	Art Unit:	2614
Filed:	January 27, 2010	Docket No.:	RALEP025
Title:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§1.56 AND 1.97(b) BEFORE MAILING OF A FIRST OFFICE ACTION

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

Dear Sir:

The references listed in the attached PTO SB/08, may be material to examination of the above-identified patent application. Applicants disclose these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56 and 1.97. The Examiner is requested to make these references of official record in this application. Copies of the cited references are provided to the extent required by 37 CFR §1.98 and any applicable waivers.

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Respectfully submitted,
VAN PELT, YI & JAMES LLP

/Michael J. Schallop/

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Substitute for form 1449/PTO				Complete if Known	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	1	of	2	Atty Docket No.	RALEP025

U.S. Patent Documents					
Examiner Initials	CiteNo.	Document Number Number-Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No.	Foreign Patent Document Country Code–Number–Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	2A	WO 2006/077481	07-27-2006	True Context Corporation	
	2B	WO 2008/051379	05-02-2008	Verizon Services	
	2C	WO 2008/080139	07-03-2008	Integrated Mobile	
	2D	WO 2004/077797	09-10-2004	Boston Communications	
	2E	WO 2003/058880	04-17-2003	Telia AB	

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T^2
	2F	HARTMANN et al., Agent-Based Banking Transactions & Information Retrieval-What about Performance Issues? 1999	
	2G	VAN EIJK, et al., GigaMobile, Agent Technology for Designing Personalized Mobile Service Brokerage, July 1, 2002	
	2H	YU LI, Dedicated E-Reading Devices: The State of the Art and Challenges, Scroll, Vol. 1, No. 1, 2008	
	2I	DIKAIAKOS et al., A Distributed Middleware Infrastructure for Personalized Services, November 24, 2003	
	2J	RAO et al., Evolution of Mobile Location-Based Services, Communication of the ACM, December 2003	
	2K	CHANDRASEKHAR et al., Femtocell Networks: A Survey, June 28, 2008	
	2L	HOSSAIN et al., Gain-Based Selection of Ambient Media Services in Pervasive Environments, 2008	
	2M	Author Unknown, 3GPP TS 23.203, V8.4.0, 3rd Generation Partnership Project; Technical Specification Group Services and System Aspects; Policy and Charging Control Architecture (Release 8), December 2008	
	2N	Author Unknown, 3GPP TS 23.401, V8.4.0, 3rd Generation Partnership Project; Technical Specification Group Services and System Aspects; General Packer Radio Service (GPRS) Enhancements for Evolved Universal Terrestrial Radio Access Network (E-UTRAN) Access (Release 8), December 2008	
	2O	STEPHAN STEGLICH, I-Centric User Interaction, November 21, 2003	
	2P	HAN et al., Information Collection Services for Qos-Aware Mobile Applications, 2005	
	2Q	ALONISTIOTI et al., Intelligent Architectures Enabling Flexible Service Provision and Adaptability, 2002	
	2R	ROLF OPPLIGER, Internet Security: Firewalls and Bey, Communications of the ACM, May 1997, Vol. 40. No.5	

PTO/SB/08 (08-03)

Substitute for form 1449/PTO				*Complete if Known*	
Information Disclosure Statement By Applicant *(Use as many sheets as necessary)*				Application No.:	12/694,445
				Filing Date	January 27, 2010
				First Named Inventor	Gregory G. Raleigh
				Art Unit	2614
				Examiner Name	Not Assigned
Sheet	2	of	2	Atty Docket No.	RALEP025

Examiner	Date Considered

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T[2] = Applicant is to place a check mark here if English language Translation is attached

Electronic Acknowledgement Receipt

EFS ID:	8297709
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Michael J. Schallop/Veronica Pula
Filer Authorized By:	Michael J. Schallop
Attorney Docket Number:	RALEP025
Receipt Date:	27-AUG-2010
Filing Date:	27-JAN-2010
Time Stamp:	16:07:01
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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Information:					
14	NPL Documents	RALE_NPL_Ref_2L.pdf	3636374 8440928107fdb5d75ce06783a2192520dc545702	no	15
Warnings:					
Information:					
15	NPL Documents	RALE_NPL_Ref_2M.pdf	887279 5a30977e77dc57a16d92c2240fea93e245299f94	no	111
Warnings:					
Information:					
16	NPL Documents	RALE_NPL_Ref_2N.pdf	2190991 8ba9616337a9da73d1158dfaec561ac7bc23b576	no	219
Warnings:					
Information:					
17	NPL Documents	RALE_NPL_Ref_2O.pdf	22848329 5dfb6b37b9bdba2974aea1f1643a2cc9b9129f17	no	262
Warnings:					
Information:					
18	NPL Documents	RALE_NPL_Ref_2P.pdf	496028 a267ff12b9b336818993ff8b85da8e35a5708cc5	no	35
Warnings:					
Information:					
19	NPL Documents	RALE_NPL_Ref_2Q.pdf	1970806 2398c7ca475eec3e037b4ad60021644397a754ed	no	10

Warnings:					
Information:					
20	NPL Documents	RALE_NPL_Ref_2R.pdf	347340 e87bfc75fa6949a4c1ea09d431b076cdc1b55249	no	11
Warnings:					
Information:					
			Total Files Size (in bytes):	70292566	

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

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

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

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

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor:	Gregory G. Raleigh	Examiner:	Not Assigned
Application No.:	12/694,445	Art Unit:	2614
Filed:	January 27, 2010	Docket No.:	RALEP025
Title:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§1.56 AND 1.97(b) BEFORE MAILING OF A FIRST OFFICE ACTION

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

Dear Sir:

The references listed in the attached PTO SB/08, may be material to examination of the above-identified patent application. Applicants disclose these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56 and 1.97. The Examiner is requested to make these references of official record in this application. Copies of the cited references are provided to the extent required by 37 CFR §1.98 and any applicable waivers.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

This Information Disclosure Statement is being filed (1) with the above-referenced application or (2) within three months of the filing date of the above-referenced application or (3) before the mailing date of a first Office Action on the merits or (4) before the mailing date of a first Office Action after filing of a Request for Continued Examination. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-0685 (Order No. RALEP025).

Respectfully submitted,
VAN PELT, YI & JAMES LLP

/Michael J. Schallop/

Michael J. Schallop
Registration No. 44,319
V (408) 207-4762
F (408) 973-2595

10050 N. Foothill Blvd, Ste 200
Cupertino, CA 95014

UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025

CONFIRMATION NO. 6030

21912
VAN PELT, YI & JAMES LLP
10050 N. FOOTHILL BLVD #200
CUPERTINO, CA 95014

PUBLICATION NOTICE

OC000000042918305

Title:SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

Publication No.US-2010-0199325-A1
Publication Date:08/05/2010

NOTICE OF PUBLICATION OF APPLICATION

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

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

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

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

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

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

UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	TOT CLAIMS	IND CLAIMS
12/694,445	01/27/2010	2614	1480	RALEP025	25	3

CONFIRMATION NO. 6030

UPDATED FILING RECEIPT

21912
VAN PELT, YI & JAMES LLP
10050 N. FOOTHILL BLVD #200
CUPERTINO, CA 95014

OC00000041274174

Date Mailed: 04/26/2010

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

Applicant(s)

Gregory G. Raleigh, Woodside, CA;

Assignment For Published Patent Application

HEADWATER PARTNERS I LLC, Woodside, CA

Power of Attorney: The patent practitioners associated with Customer Number 21912

Domestic Priority data as claimed by applicant

This application is a CIP of 12/380,780 03/02/2009
and claims benefit of 61/206,354 01/28/2009
and claims benefit of 61/206,944 02/04/2009
and claims benefit of 61/207,393 02/10/2009
and claims benefit of 61/207,739 02/13/2009
and claims benefit of 61/252,151 10/15/2009

Foreign Applications

If Required, Foreign Filing License Granted: 02/17/2010

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 12/694,445**

Projected Publication Date: 08/05/2010

Non-Publication Request: No

Early Publication Request: No

Title

SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

Preliminary Class

379

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

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

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

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

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

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, http://www.stopfakes.gov. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as

set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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

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

NOT GRANTED

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

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor:	Gregory G. Raleigh	Examiner:	Not Assigned
Application No.:	12/694,445	Art Unit:	2614
Filed:	January 27, 2010	Docket No.:	RALEP025
Title:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		

RESPONSE TO NOTICE TO FILE MISSING PARTS

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

Sir:

This is a Response to Notice to File Missing Parts mailed **February 22, 2010.**

Application Elements:

☒ Declaration

☒ Newly executed (original or copy)

☐ Copy from a prior application (37 CFR 1.63(d) for a continuation or divisional). The entire disclosure of the prior application from which a copy of the declaration is herein supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Deletion of inventors Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

Accompanying Application Parts:

☐ Information Disclosure Statement with Form PTO/SB/08 ☐ Copies of IDS Citations

☐ Preliminary Amendment (*New claims numbered after highest original claim in prior application.*)

☐ Return Receipt Postcard

☐ Copy of Notice to File Missing Parts of NonProvisional Application

☐ Other:

Amendments

☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee. (*At least one original independent claim must be retained.*)

Fee Calculation (37 CFR § 1.16)

					Small Entity			Large Entity	
					Rate	Fee		Rate	Fee
Filing Fees					x $165 = $		OR	x $330 = $	330
Search Fees					x $270 = $		OR	x $540 = $	540
Examination Fees					x $110 = $		OR	x $220 = $	220
CLAIMS	Filed.		Extra						
Total	25	Less 20	5		x $26 = $		OR	x $52 = $	260
Independent	3	Less 3	-0-		x $110 = $		OR	x $220 = $	
Multiple Dependent Claims			-0-		x $195 = $		OR	x $390 = $	
Declaration and Surcharge Fee					X $65 = $		OR	X $130 = $	130
					TOTAL FILING FEE $			TOTAL FILING FEE $	**1480.00**

☐ Applicants petition for an extension of time to respond under 37 CFR § 1.136(a) as follows:

		SMALL ENTITY			LARGE ENTITY	
		Rate	Add'l Fee		Rate	Add'l Fee
☐ Extension for Response within FIRST month		x $65 = $		OR	x $130 = $	
☐ Extension for Response within SECOND month		x $245 = $		OR	x $490 = $	
☐ Extension for Response within THIRD month		x $555 = $		OR	x $1110 = $	
☐ Extension for Response within FOURTH month		x $865 = $		OR	x $1730= $	
☐ Extension for Response within FIFTH month		x $1175 = $		OR	x $2350 = $	

☐ Check No. _____for $_____ is enclosed.

General Authorizations

☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as needed for this or any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as needed to Deposit Account No. 50-0685 (Order No. RALEP025).

☒ The Commissioner is given general authorization to charge any fees or to credit any overpayment during the pendency of this application to Deposit Account No. 50-0685 (Order No. RALEP025).

☒ Please send correspondence to the following address:

Customer No. 21912
VAN PELT, YI & JAMES LLP
10050 N. Foothill Blvd.
Suite 200
Cupertino, CA 95014

Date: April 15, 2010

/Michael J. Schallop/
Michael J. Schallop
Registration No. 44,319

DECLARATION AND POWER OF ATTORNEY FOR ORIGINAL U.S. PATENT APPLICATION

Attorney's Docket No. RALEP025

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES**, the specification of which,

(check one)

1. ☐ is attached hereto.

2. ☒ was filed on January 27, 2010 as U.S. Application No. 12/694,445 and was amended on _____.

3. ☐ was filed on _____ as International PCT Application No. _____ and was amended on _____.

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

For Assigned Inventions: I understand that the purpose of making this appointment is to permit prosecution of patent applications for the above-identified invention for the benefit of my assignee, and that this appointment does not create an attorney-client relationship between me and these appointees.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under Title 35, United States code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s) Priority Benefits Claimed?

(Appl. No.)	(Country)	(Filing Date)	☐Yes ☐No

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below:

Prior Provisional Application(s)

(Application No.)	(Filing Date)
61/206,354	1/28/2009
61/206,944	2/4/2009

61/207,393	2/10/2009
(Application No.)	(Filing Date)
61/207,739	2/13/2009
(Application No.)	(Filing Date)
61/252,151	10/15/2009
(Application No.)	(Filing Date)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s)

12/380,780	03/02/2009	PENDING
(Application No.)	(Filing Date)	(Status - patented, pending, abandoned)

And I hereby appoint the attorneys and/or agents associated with Customer No. **21912** as my principal attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Please Direct all Correspondence To: **Customer No. 21912**
VAN PELT, YI & JAMES LLP
10050 N. Foothill Blvd., Suite 200
Cupertino, CA 95014

Direct Telephone Calls To: **Michael J. Schallop at telephone number (408) 207-4762**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full name of sole or first inventor	Gregory G. Raleigh				
Signature of sole or first inventor				Date:	4/8, 2010
Residence: City	Woodside	State:	CA	Citizenship:	US
Mailing Address	2995 Woodside Road, Suite 400, Woodside, CA 94062				

Electronic Patent Application Fee Transmittal

Application Number:	12694445
Filing Date:	27-Jan-2010
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Filer:	Michael J. Schallop/Veronica Pula
Attorney Docket Number:	RALEP025

Filed as Large Entity

Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Utility application filing	1011	1	330	330
Utility Search Fee	1111	1	540	540
Utility Examination Fee	1311	1	220	220
Pages:				
Claims:				
Claims in excess of 20	1202	5	52	260
Miscellaneous-Filing:				
Late filing fee for oath or declaration	1051	1	130	130

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				
Miscellaneous:				
		Total in USD ($)		**1480**

Electronic Acknowledgement Receipt	
EFS ID:	7429493
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Michael J. Schallop/Veronica Pula
Filer Authorized By:	Michael J. Schallop
Attorney Docket Number:	RALEP025
Receipt Date:	16-APR-2010
Filing Date:	27-JAN-2010
Time Stamp:	17:18:17
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$1480
RAM confirmation Number	3797
Deposit Account	500685
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	RALEP025_Response_to_Missing_Parts.pdf	83692 06436f7976bf0198e371c0d3eee184005629f84f	no	2
Warnings:					
Information:					
2	Oath or Declaration filed	RALEP025_Declaration_POA.pdf	465365 cf1f110722069a8404077c6da27e5ff6d2339001	no	2
Warnings:					
Information:					
3	Fee Worksheet (PTO-875)	fee-info.pdf	38366 473cbef95cb0f57e364c1454bd710414180dd085	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	587423		

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.

UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/694,445	01/27/2010	Gregory G. Raleigh	RALEP025

CONFIRMATION NO. 6030

21912
VAN PELT, YI & JAMES LLP
10050 N. FOOTHILL BLVD #200
CUPERTINO, CA 95014

FORMALITIES LETTER

OC000000040123118

Date Mailed: 02/22/2010

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
  *Applicant must submit $**330** to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.
  A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
  Note: If a petition under 37 CFR 1.47 is being filed, an oath or declaration in compliance with 37 CFR 1.63 signed by all available joint inventors, or if no inventor is available by a party with sufficient proprietary interest, is required.

The applicant needs to satisfy supplemental fees problems indicated below.

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

- Additional claim fees of $**260** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.16(f) of $**130** for a non-small entity, must be submitted with the missing items identified in this notice.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is $**1480** for a non-small entity
- $**330** Statutory basic filing fee.
- $**130** Surcharge.
- The application search fee has not been paid. Applicant must submit $**540** to complete the search fee.

- The application examination fee has not been paid. Applicant must submit $**220** to complete the examination fee for a non-small entity.
- Total additional claim fee(s) for this application is $**260**
  - $**260** for **5** total claims over 20.

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FILING RECEIPT



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Assignment For Published Patent Application

HEADWATER PARTNERS I LLC, Woodside, CA

Power of Attorney: None

Domestic Priority data as claimed by applicant

This application is a CIP of 12/380,780 03/02/2009
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SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

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379

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Attorney Docket No. RALEP025

APPLICATION FOR UNITED STATES PATENT

SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

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SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

CROSS REFERENCE TO OTHER APPLICATIONS

[0001] This application claims priority to U.S. Provisional Patent Application No. 61/206,354 (Attorney Docket No. RALEP001+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed January 28, 2009, U.S. Provisional Patent Application No. 61/206,944 (Attorney Docket No. RALEP002+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed February 4, 2009, U.S. Provisional Application No. 61/207,393 (Attorney Docket No. RALEP003+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed February 10, 2009, U.S. Provisional Patent Application No. 61/207,739 (Attorney Docket No. RALEP004+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed on February 13, 2009, and U.S. Provisional Patent Application No. 61/252,151 (Attorney Docket No. RALEP025+) entitled SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES, filed on October 15, 2009, which are incorporated herein by reference for all purposes.

[0002] This application is a continuation in part of co-pending U.S. Patent Application No. 12/380,780 (Attorney Docket No. RALEP007), entitled AUTOMATED DEVICE PROVISIONING AND ACTIVATION, filed on March 2, 2009, which is incorporated herein by reference for all purposes, and which claims priority to U.S. Provisional Patent Application No. 61/206,354 (Attorney Docket No. RALEP001+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed January 28, 2009, U.S. Provisional Patent Application No. 61/206,944 (Attorney Docket No. RALEP002+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed February 4, 2009, U.S. Provisional Application No. 61/207,393 (Attorney Docket No. RALEP003+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed February 10, 2009, and U.S. Provisional Patent Application No. 61/207,739 (Attorney Docket No. RALEP004+) entitled SERVICES POLICY COMMUNICATION SYSTEM AND METHOD filed on February 13, 2009, which are incorporated herein by reference for all purposes.

BACKGROUND OF THE INVENTION

[0003] With the advent of mass market digital communications, applications and content distribution, many access networks such as wireless networks, cable networks and DSL (Digital Subscriber Line) networks are pressed for user capacity, with, for example, EVDO (Evolution-Data Optimized), HSPA (High Speed Packet Access), LTE (Long Term Evolution), WiMax (Worldwide Interoperability for Microwave Access), DOCSIS, DSL, and Wi-Fi (Wireless Fidelity) becoming user capacity constrained. In the wireless case, although network capacity will increase with new higher capacity wireless radio access technologies, such as MIMO (Multiple-Input Multiple-Output), and with more frequency spectrum and cell splitting being deployed in the future, these capacity gains are likely to be less than what is required to meet growing digital networking demand.

[0004] Similarly, although wire line access networks, such as cable and DSL, can have higher average capacity per user compared to wireless, wire line user service consumption habits are trending toward very high bandwidth applications and content that can quickly consume the available capacity and degrade overall network service experience. Because some components of service provider costs go up with increasing bandwidth, this trend will also negatively impact service provider profits.

BRIEF DESCRIPTION OF THE DRAWINGS

[0005] Various embodiments of the invention are disclosed in the following detailed description and the accompanying drawings.

[0006] **Figure 1** illustrates a secure execution environment for device assisted services in accordance with some embodiments.

[0007] **Figure 2** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0008] **Figure 3** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0009] **Figure 4** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0010] **Figure 5** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0011] **Figure 6** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0012] **Figure 7** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0013] **Figure 8** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0014] **Figure 9** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0015] **Figure 10** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

[0016] **Figure 11** illustrates another secure execution environment for device assisted services in accordance with some embodiments.

DETAILED DESCRIPTION

[0017] The invention can be implemented in numerous ways, including as a process; an apparatus; a system; a composition of matter; a computer program product embodied on a computer readable storage medium; and/or a processor, such as a processor configured to execute instructions stored on and/or provided by a memory coupled to the processor. In this specification, these implementations, or any other form that the invention may take, may be referred to as techniques. In general, the order of the steps of disclosed processes may be altered within the scope of the invention. Unless stated otherwise, a component such as a processor or a memory described as being configured to perform a task may be implemented as a general component that is temporarily configured to perform the task at a given time or a specific component that is manufactured to perform the task. As used herein, the term 'processor' refers to one or more devices, circuits, and/or processing cores configured to process data, such as computer program instructions.

[0018] A detailed description of one or more embodiments of the invention is provided below along with accompanying figures that illustrate the principles of the invention. The invention is described in connection with such embodiments, but the invention is not limited to any embodiment. The scope of the invention is limited only by the claims and the invention encompasses numerous alternatives, modifications and equivalents. Numerous specific details are set forth in the following description in order to provide a thorough understanding of the invention. These details are provided for the purpose of example and the invention may be practiced according to the claims without some or all of these specific details. For the purpose of clarity, technical material that is known in the technical fields related to the invention has not been described in detail so that the invention is not unnecessarily obscured.

[0019] In some embodiments, security techniques for device assisted services are provided. In some embodiments, secure service measurement and/or control execution partition techniques for device assisted services are provided. In some embodiments, a secure execution environment for device assisted services is provided. In some embodiments, a secure stack for device assisted services is provided. In some embodiments, a secure memory for device assisted services is provided. In some embodiments, a secure modem for device assisted services is

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

[0020] In some embodiments, device assisted services (DAS) provide for one or more of device based service usage measurements, service usage policy implementation, service usage accounting, service usage control, and any of the other functions described in various embodiments that assist, replace, and/or augment network based functions. For example, various DAS embodiments perform one or more of the following: facilitate and control activation to one or more access service networks; measure access and/or service usage on one or more access networks; control access and/or service usage on one or more access networks; account for different types of service usage on one or more access networks; implement quality of service (QOS) controls, collect and report QOS traffic demand, aggregate multiple device QOS demand reports to asses a measure of overall network QOS demand, and/or facilitate QOS resource allocation; and/or facilitate roaming between access networks. There are many more functions and embodiments for DAS as described with respect to various embodiments.

[0021] In some embodiments, various program/functional elements that perform the functions to implement various DAS embodiments are referred to herein as DAS agents or

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

[0022] In some embodiments, device assisted service agent functions include one or more of the following: reporting service usage to QOS control elements in the network, receiving QOS assignment from the network, reporting QOS assignments to the network, and/or communicating with QOS service reservation elements in the network. In some embodiments, device assisted service agent functions include one or more of implementing QOS service controls on the device based on one or more of the following criteria: fair queuing of service usage activities, differentiated QOS based on an assigned QOS hierarchy of service usage activities, service usage activity QOS assignments from the network for one or more service usage activities, service usage activity policy directives from the network for one or more service usage activities.

[0023] In some embodiments, a service control link is used for communication between the device assisted service agents and the service controller. In some embodiments, the service control link is a secure link (e.g., an encrypted communication link).

[0024] In some embodiments, the device assisted service agent functions include device assisted service system communication, measuring and/or recording and/or reporting and/or synchronizing service measures, observing communicating information for service control integrity, communicating information for service control policy instructions and/or settings, or updating device assisted software and/or agent settings.

[0025] In some embodiments, device assisted service on the device includes the following: service measurements, service controls, user interface and usage reporting, user policy options, accept policy instructions, protected execution partition provided to prevent hacking, malware, errors, and other security techniques. In some embodiments, device assisted service on the server includes one or more of the following: set policy, set configurations, install/update agents, check usage versus policy, check proper operation of agents, synchronize usage from network to device, and other verification techniques. For example, when errors in policy enforcement are detected, servers can perform actions to either further observe, quarantine, or suspend the device.

[0026] In some embodiments, a control server/control service network element receives service measures from the device. In some embodiments, the control server/control service network element receives service measures from the network. In some embodiments, the control server/control service network element sets policies and manages service across multiple networks (e.g., while one modem is shown in various figures, multiple modems can be employed for multiple networks with consistent service usage measures, service controls, QOS controls, UI (User Interface), user preferences, user usage reporting, and/or other settings/controls across different networks).

[0027] In some embodiments, traffic type refers to one or more of the following: best effort network traffic, real-time traffic (e.g., live voice such as VOIP, live video, etc.), streaming traffic, multi-cast traffic, uni-cast traffic, point to point traffic, file types, traffic associated with an application, real time traffic, traffic with an assigned priority, traffic without an assigned priority, and traffic for a certain network.

[0028] In some embodiments, service usage activity refers to a usage of service by a device. In some embodiments, service usage activity can be one or more of connection to an access network, connection to certain destinations, URLs or addresses on a network, connection to the network by one or more applications, transmission of certain types of traffic, a type of transaction based service, a type of advertising based services, or a combination of one or more of the following: an application type, a network destination/address/URL, a traffic type, and a transaction type.

[0029] In some embodiments, protection of the device assisted service agents/functional elements to protect the functions that perform the device assisted functions is provided with a protected execution partition on the CPU (Central Processor Unit), APU (Auxiliary Processor Unit), or another hardware based processor. For example, such hardware protected execution capabilities in the CPU, APU, or other processor can be combined in some embodiments with either OS software functions or other native mode software functions to create secure program execution partitions as described herein. In some embodiments, the term host is used to refer to the hardware and firmware and/or software system that executes the device applications and networking stack. In some embodiments, some of the device assisted service agents/functions are implemented in a modem execution partition environment.

[0030] **Figure 1** illustrates a secure execution environment 100 (e.g., for a communications device) for device assisted services in accordance with some embodiments. As shown in Figure 1, the device execution environments include program/functional elements for a communications (e.g., a communications device can be an intermediate networking device, such as 3G/4G WWAN to WLAN bridges/routers/gateways, femto cells, DOCSIS modems, DSL modems, remote access/backup routers, and other intermediate network devices, or a mobile communications device, such as a mobile phone, a PDA, an eBook reader, a music device, an entertainment/gaming device, a computer, laptop, a netbook, a tablet, a home networking system, and/or any other mobile communications device) device that utilizes the modem subsystems #1 (125) through #N (127) to connect to one or more of the access networks #1 (136) through #N (138). In some embodiments, a communications device includes multiple program execution partitions. As shown in Figure 1, four execution partitions are provided: an application execution partition 102 in which, for example, application programs execute, a kernel execution partition 112 in which, for example, the lower level drivers and basic low level OS programs execute, a protected device assisted service (DAS) execution partition 114 (also referred to as protected DAS partition) in which, in some embodiments, some or all of the device assisted service agents and/or functions execute, and a modem execution partition 124 in which, for example, the modem program elements execute and, in some embodiments, some or all of the device assisted service agents and/or functions execute. In some embodiments, each of these execution partitions are optimized for different software functions, each providing programs with the basic physical memory, data memory, CPU or APU or modem processor execution

resources, high level and/or low level OS, memory management, file storage, I/O device resources (e.g., user interface (UI), peripherals, etc.), network communications stack, other device resources, and/or other resources that are required or used for operation of the programs. The collection of these hardware and software resources for the CPU or APU is sometimes referred to herein with the term host.

[0031] As shown, Figure 1 illustrates an application execution partition 102 and a kernel execution partition 112, which are shown as separate partitions within the device execution environments. For example, this separation is based on the manner in which "kernel programs" (e.g., drivers and network stack, etc.) are commonly supported as compared to "application programs" (e.g., browsers, word processors, user interfaces, etc.) within the context of several different popular operating systems (OS) (e.g., Windows, UNIX, Linux, MAC OS, certain mobile device OSs, certain embedded device OSs, etc.). In some embodiments, this functional separation is not required, and, in some embodiments, other functional separations are supported.

[0032] As shown in Figure 1, protected device assisted service agents, such as the protected DAS partition device assisted service agents 110, execute in the protected DAS partition 114 while unprotected device assisted service agents and/or OS networking stack elements and applications (e.g., applications 106A through 106C) execute outside of the secure device assisted service execution partition 114, such as the application partition device assisted service agents 104 and the OS networking stack and/or kernel partition device assisted service agents 108. For example, the protected DAS partition 114 can make it more difficult for a hacker, malware or system errors to compromise, attack or modify the device assisted service measurements, service policy implementation or service usage control operations on the device (e.g., communications device). In some embodiments, the protected DAS partition 114 need not support open access to all programs and OS elements so that it can be easier to protect. Also, as shown, a bus driver 116 in the application execution partition 102 provides for communication with a modem bus 120, which is in communication with a bus driver 121 in the modem execution partition 124. The protected DAS partition also includes a host service control link 118, which facilitates communication with a host secure channel 150 as shown.

[0033] In some embodiments, the protected DAS partition 114 is a protected execution partition on the main device that is supported by certain configurations in the host (e.g., a secure virtual execution environment or a separate hardware security function). For example, this protected execution partition can be used to provide added service measurement integrity and/or service control integrity for a device assisted service enabled device. In some embodiments, as described herein, the operating system (OS) also performs a role in establishing the protected execution partition for secure operation of device assisted services, and, in some embodiments, this role is performed by native software or firmware operating on secure hardware elements.

[0034] In some embodiments, the DAS agents responsible for maintaining service control integrity execute in the protected DAS partition 114. For example, the protected DAS partition device assisted service agents 110 can include one or more of the following: one or more service usage measurement functions; some or all of the device networking stack functions that are monitored and/or controlled by the device assisted services system; device drivers that interface to an OS networking stack to observe or manipulate stack traffic; access control integrity functions; service policy control functions; service UI functions; application identification functions, and/or functions to classify service usage activities by combinations of application, address/URL and/or traffic type; modem bus driver functions; and/or modem data encryption functions to prevent other unauthorized programs from bypassing the device assisted service measurements and/or controls by directly accessing the modem around the stack. In some embodiments, the system designer or a given set of design criteria determine which of the various described device assisted agent functions should be executed in protected DAS partition 114 to strengthen the service control integrity for the system.

[0035] In some embodiments, the device operating system provides for the protected DAS partition 114 in addition to conventional security features available in the operating system. In some embodiments, the protected DAS partition 114 provides an execution partition with increased program execution protection in which, for example, service measurement and/or service control programs (agents) can execute in a mode that provides for higher access control integrity (e.g., proper service usage reporting and/or service measurement and/or service control system operation with increased protection from attacks, errors, malware, etc.). In some

embodiments, a hardware assisted secure execution partition provides for increased program execution protection for device assisted service agent functions.

[0036] In some embodiments, a service control link (e.g., host service control link 118 via host secure channel 150 to network service control link 152) is used for communication between the device assisted service agents and a service controller 122. In some embodiments, the service control link is a secure link (e.g., an encrypted communications link). In some embodiments, an encrypted secure control link can be implemented over the higher layers of the network stack (e.g., TCP, HTTP, TLS, etc.), and, in some embodiments, the encrypted link can be implemented over lower layers in the network stack, such as the IP layer or the access network layers (e.g., the WWAN device management channels or signaling layers). In some embodiments, service control link security is provided at least in part by encrypting link traffic between the device and the service controller 122. In some embodiments, service control link security is provided at least in part by running the service control link device side program agents in the protected DAS partition 114. In some embodiments, service control link security is achieved at least in part by restricting access to the service control link to certain device assisted service agents that are allowed to communicate with the service controller 122. In some embodiments, the agents that are allowed to communicate with the service control link perform such communications using encrypted communications. In some embodiments, the encrypted communications is accomplished with a secure inter-agent communication bus on the device. In some embodiments, the only mechanism for modifying the configuration of the operation, execution code, execution instructions and/or settings of certain device assisted service processor agents executing in the protected DAS partition 114 is through the service control link. In some embodiments, the only mechanism for modifying any program elements executing inside the protected DAS partition 114 is through the service control link so that only the service controller 122 may modify the operation or service policy settings for the agents located in the service measurement and/or service control execution partition.

[0037] As shown in Figure 1, various server functions within the service controller 122 are provided. In some embodiments, a service history server 158 collects service usage measures from one or more of the device DAS agents and/or from various sources of potential network based service usage databases, such as the access network service usage 142 (e.g., carrier

charging data record (CDR) systems), private network service usage 144 (e.g., MVNO or enterprise network service usage accounting system), and/or billing, mediation service usage log, reconciliation 148 (e.g., service provider billing or mediation system). In some embodiments, an access control integrity server 156 is used to compare various access control verification checks to ensure that the device assisted service agents have not been compromised. The various embodiments used in the access control integrity server 156 to perform these integrity checks are described with respect to various embodiments. Some embodiments include comparing device based service usage measures versus the service usage that should result if the desired service policy were properly implemented, comparing device based service usage measures versus the service usage that should result if the desired service policy were properly implemented with device based service usage measures that are executing in the protected DAS partition 114 and/or the modem execution partition 124, comparing network based service usage measures versus the service usage that should result if the desired service policy were properly implemented, and comparing network based service usage measures with device based service usage measures. In some embodiments, a policy control server 154 stores policy settings for the various service plans that can be implemented on the device, and communicates the appropriate policy settings to the appropriate device DAS agents.

[0038] In some embodiments, the service controller 122 has secure access to service measures, service control settings, software images, software security state(s), and/or other settings/functions, for example, by virtue of the hardware enhanced execution partition and the secure channel into the protected DAS partition 114. For example, the host secure channel 150 can be encrypted employing keys that are public/private or point to point private. Also, other link security, for example, can be implemented as described herein. For example, servers can ensure that the link remains authenticated and information is validated. For example, the service controller can perform one or more of the following verification techniques: compare the monitored service usage versus the policy, compare the monitored service usage versus other service usage measures and/or combined with various other network service usage measures.

[0039] In some embodiments, the protected DAS partition 114 includes a host service control link 118 as shown in Figure 1 that works in combination, that is, in communication with a network service control link 152 to send and receive secure messages between the service

controller and the host via a host secure channel 150. In some embodiments, the protected DAS partition 114 only accepts new program images from the service controller 122 and not from local programs or disks. In some embodiments, the protected DAS partition 114 cannot communicate with other applications and/or kernel programs. In some embodiments, the protected DAS partition 114 can also communicate with other applications and/or kernel programs but only to gather information or to set settings. In some embodiments, the protected DAS partition 114 can also communicate with other applications and/or kernel programs but only through a restricted encrypted communication bus that restricts outside program access to protected programs or agent functions, and can also restrict the agents inside of the protected partition from accepting unauthorized information or code modifications from programs outside the protected partition. Various other security techniques can be provided for the DAS execution environments as will be apparent to one of ordinary skill in the art in view of the embodiments described herein.

[0040] In some embodiments, the protected DAS partition 114 is created by employing CPU or APU hardware security features in addition to or in alternative to other software security features (e.g., virtual execution partitions) that can be provided by the operating system and/or other software. In some embodiments, the host hardware security features are provided with the operating system secure kernel operating modes. In some embodiments, the host hardware security features used for secure device assisted service execution partition operation are independent of the operating system kernel (e.g., implemented in secure program partitions in a separate secure program area not directly controlled by the OS and/or software that does not have access to the partitions).

[0041] In some embodiments, the hardware security features that support the protected DAS partition 114 include preventing other elements on the device from writing and/or reading certain memory areas reserved for device assisted service agents and/or control link functions. In some embodiments, this memory protection function is accomplished by locating the memory in a secure hardware partition that cannot be accessed by unauthorized device program elements (e.g., a separate bank of isolated memory space within the host CPU). In some embodiments, this memory protection function includes encrypting traffic to and from memory so that only authorized device program elements posses the counterpart encryption capability to access the

memory. In some embodiments, the mechanism to access device assisted service agent memory and/or certain data elements is restricted to authorized device assisted service agents and/or the service controller via the service control link so that unauthorized program elements on the device cannot alter the device assisted service agent code and/or operation.

[0042] In some embodiments, the hardware security features that support the protected DAS partition 114 includes preventing unauthorized elements on the device from accessing the protected storage and/or file storage (e.g., "protected storage," such as disk storage, non-volatile memory, embedded non-volatile memory, such as NVRAM, flash or NVROM, securely embedded non-volatile memory, and/or other types of storage) that is used to store the device assisted service agent programs. In some embodiments, this protected storage is maintained within the secure hardware partitions that also execute one or more of the device assisted service agents so that only authorized device assisted service agents have access to the storage locations. In some embodiments, the images that are stored in such protected file storage must be properly encrypted and signed for a boot loader to authorize loading the device assisted service agent programs into execution memory, and in some embodiments, if the images are not properly signed then an access control integrity error is generated and/or the program is not loaded. In some embodiments, such properly signed DAS images can only be obtained from the service controller. In some embodiments, such DAS images can only be loaded into protected file storage by the service controller. In some embodiments, the hardware security features that prevent unauthorized elements on the device from accessing the protected file storage include encrypting all traffic to and from the secure storage so that only authorized device program elements possess the counterpart encryption capability to access the storage. In some embodiments, access or access rights to re-program a device assisted service agent program store is restricted to the service controller via the service control link so that unauthorized program elements on the device are not authorized to alter the device assisted service agent code and/or operation.

[0043] In some embodiments, the hardware security features that protect device assisted service agent storage include a protected DAS partition in which an access control integrity agent function is isolated from other device program elements, and a secure service control link is also isolated in a similar manner, and the access control integrity agent scans the execution memory,

data memory and/or file storage used by one or more device assisted services agents to measure and/or control services. In some embodiments, the purpose of the scan is to detect changes to the device assisted service agent code and/or data. In some embodiments, the purpose of the scan is to detect other unauthorized program elements or data that may be present in reserved or protected areas used for device assisted service agent execution. In some embodiments, reports of such scan audits are reported over the service control link to the service controller for further processing by use of cloud based resources to identify access control integrity violations. In some embodiments, the access control integrity agent functions include one or more of hashing other device assisted security agents, querying other device assisted security agents, observing the operation of other device assisted security agents or monitoring service measures and then either evaluating the results locally on the device to determine if they are within pre-defined allowable parameters or sending at least some of the results to the service controller for further analysis via the service control link. In some embodiments, the scan audits are compared with earlier versions of the scans to compare code configuration or operational characteristics. In some embodiments, the scan audits are compared against known databases for the code or operational characteristics that should be present in the DAS agents.

[0044] In some embodiments, an access control integrity agent, or a new version of the access control integrity agent can be downloaded by the service controller over the secure service control link. For example, this technique provides for a real time assessment of device service control security state as described above in the event that corruption or compromise of the secure device assisted service agent(s) has occurred. In some embodiments, the access control integrity agent that is downloaded can have a different configuration and/or operation than any agent previously loaded onto the device so that it is difficult or impossible for a hacker or malware to spoof the operation of the agent in a short period of time. For example, by requiring the agent to report security assessments back to the server in a period of time that is typically less than what is required to spoof the agent, the agent will either report back an accurate assessment of device status or will be blocked by a hacker or malware, and both of these conditions can provide the information required to take action if the device assisted services system has been corrupted or compromised.

[0045] In some embodiments, the protected DAS partition and/or the modem execution partition can be used to securely store some or all of the device credentials that are used for one or more of device group association, activation, authorization to the access network and/or the DAS network, service level, and service usage accounting and/or billing.

[0046] In some embodiments, the modem subsystem also includes DAS elements that strengthen the access control integrity of the DAS system. As shown in Figure 1, one or more modems can include, in some embodiments, DAS agent functions labeled modem partition DAS agents 126. The modem execution partition 124 of the modem sub system #1 (125) of the modem execution partition 124 includes modem partition DAS agents 126 in communication (e.g., secure communication, such as using encrypted communications) with a modem 128 and a modem service control link 130, which is in communication with the network service control link 152 via the modem secure channel #1 (132), as shown. Also, the modem 128 is in communication (e.g., secure communication, such as using encrypted communications) with the access network #1 (136), which is in communication with the access network service usage 142 and the Internet 140, which is in communication with a private network 146, which is in communication with the private network service usage 144, as shown.

[0047] Example embodiments for DAS agent functions that execute in the modem execution partition include modem encryption and modem service usage measures. In other embodiments, the modem execution partition can also include higher level DAS agent functions, such as stack traffic classification, stack manipulation, access control, and/or traffic control. For example, the modem execution partition can also include a full service processor that is fully capable of managing all aspects of service usage measurement and/or service control. It will now be apparent to one of ordinary skill in the art that the modem execution partition can employ a number of the service security embodiments described in the context of the protected DAS partition, for example, to enhance the service integrity of the DAS system. For example, the DAS agents on the modem can be stored in an encrypted and signed format on non-volatile (NV) memory on the modem that is only accessible by the network service control link or by a local secure control link from the protected DAS partition to the modem execution partition. As shown in Figure 1, a separate secure modem control channel (e.g., modem secure channel #1 (132) through modem secure channel #N (134)) that is distinct from the host secure control

channel 150 is provided. This separate modem control channel can either be implemented over the higher network layers of the device or over the lower access network layer so that special access to access network resources is required to even connect to the modem DAS agents 126 thereby further enhancing service control related security.

[0048] In some embodiments, the protected DAS partition provides for performing the DAS agent functions required for parental controls, enterprise WWAN management controls or roaming controls, and/or usage reporting in the protected execution space. In view of the DAS embodiments described herein, it will now be apparent to one of ordinary skill in the art how to implement such protected controls for these various and other application scenarios.

[0049] In some embodiments, a protected DAS partition provides for performing a virtual machine (VM) on top of a secure machine. The device application OS that is accessible by software that can be installed without special permissions can be isolated from the secure hardware and/or OS that is running under the VM. Using these techniques, malware can be "cocooned in" on the VM OS rather than "walled out" as discussed with respect to various embodiments described herein.

[0050] In some embodiments, communication between program/functional elements outside of the protected DAS partition to DAS agents inside the protected DAS partition is controlled by a secure encrypted channel. In some embodiments, only programs/functions that have access to communicate with DAS agents are allowed to do so, and, in some embodiments, even these outside programs are not allowed to modify the DAS agent configuration, only to report information and/or receive information.

[0051] For example, various embodiments can be used to connect to multiple access networks through multiple modems, with each modem potentially being associated with a different set of DAS service policies corresponding to the different types of access networks supported. In some embodiments, such as for 3G/4G modems, WWAN/WLAN modems, and various other multiple modem embodiments, the multiple modems can also be provided on the same multi-mode modem subsystem rather than on different modem subsystems.

[0052] In some embodiments, the various techniques and embodiments described herein can be readily applied to intermediate networking devices as will now be apparent to one of ordinary skill in the art. For example, an intermediate networking device can includes some or all of the DAS agents for managing, controlling, and/or measuring service usage for one or more devices in communication with a wireless network via the intermediate networking device, in which the DAS agents can be executed in secure execution environments or secure execution partitions using the various techniques described herein. In some embodiments, intermediate networking devices include, for example, WWAN/WLAN bridges, routers and gateways, cell phones with WWAN/WLAN or WWAN/Bluetooth, WWAN/LAN or WWAN/WPAN capabilities, femto cells, back up cards for wired access routers, and other forms/types of intermediate networking devices.

[0053] **Figure 2** illustrates another secure execution environment 200 for device assisted services in accordance with some embodiments. In particular, Figure 2 illustrates an embodiment in which DAS agents do not actually replace the OS network stack elements, but instead one or more DAS agents include device driver programs that interface into the network stack and pass (e.g., securely communicate) traffic information or actual traffic back and forth with the stack. These device driver interface constructs are labeled OS driver framework and interface 208 as shown in Figure 2. Example OS system constructs that provide for this type of architecture for DAS agents include Windows NDIS and/or TDI drivers, Windows Filter Platform (WFP), Berkeley Packet Filter, ipfw (e.g., a BSD packet filter that can be used for various OSs, such as Unix, Linux, MAC OS), and/or other platforms/programs performing these or similar functions. While these OS stack options are not secure in themselves, if the drivers that interface with them are secured as illustrated in Figure 2 by executing the drivers in the protected DAS partition 214, then higher overall access control integrity/security levels can be achieved.

[0054] As shown in Figure 2, the service measurement and/or policy control drivers 210 executed in the protected DAS partition 214 represent the DAS drivers that interface to the OS stack device driver interface constructs labeled OS driver framework and interface 208 executed in the kernel execution partition 212, which are in communication with/interface with OS Stack API(s) 207. As also shown, applications, such as applications 106A through 106C execute in the

application execution partition 202. In some embodiments, service access control integrity is further enhanced by placing additional measurement points outside of the network stack, so that, for example, if the network stack service usage reporting is hacked, corrupted, and/or compromised, there is a secure additional or back-up service measure located on the device and/or in the network (e.g., modem agent 226 as shown in Figure, which provides a service measurement point in the modem for measuring service usage by the device, and as shown also provides for secure communication with the modem agent 226 using modem encryption 225). For example, the service measure provided by the modem agent 226, modem encryption 225, and/or modem bus 120 functions shown in Figure 2 can be executed in a protected partition (e.g., modem execution partition 124 as shown in Figure 2 can be implemented as a secure or protected partition using the various techniques described herein).

[0055] **Figure 3** illustrates another secure execution environment 300 for device assisted services in accordance with some embodiments. As shown, some stack elements are executed in the kernel execution partition 312 and some stack elements are executed in the protected DAS execution partition 314. In some embodiments, the DAS agents 104 executed in the application execution partition 302 are directly monitoring and/or controlling stack traffic by intercepting it and imposing additional traffic measurement and/or filtering. Examples of such techniques are described herein with respect to various embodiments. As shown in Figure 3, the network stack elements 308 are the OS stack elements that reside in the kernel execution partition 312 and the protected DAS network stack elements 310 are the stack elements that reside in protected DAS execution partition 314. For example, as some or potentially all of the stack network traffic processing resides in the protected DAS execution partition 314, a high level of service control integrity can be maintained using these techniques. For example, the modem bus driver 121 can be executed in a secure execution partition, such as modem execution partition 324, which can be implemented as a secure execution partition using the various techniques described herein, or the modem bus driver 121 can be executed in the protected DAS execution partition 314, so that unauthorized programs can be blocked from accessing the access network through the modem.

[0056] In some embodiments, the entire stack is executed in the protected DAS execution partition 314 with only a stack API executing in kernel execution partition 312. Various other embodiments involve implementing a minimum (e.g., in terms of a number of agents and/or

functionality) in the protected DAS execution partition 314 required to secure a service measure that can be used to confirm the integrity of the service policy implementation (e.g., as described with respect to various other embodiments disclosed herein). As will now be apparent to one of ordinary skill in the art, various combinations of stack processing functions can be implemented in a secure host execution partition to strengthen the service measurement and/or service control integrity of the DAS system using the techniques and/or similar techniques to the various techniques described herein.

[0057] In some embodiments, the stack elements implemented in the protected DAS execution partition can include stack API, sockets layer, TCP, UDP, service measurements at one or more points in the stack, IP layer processing, VPN/IPSEC, PPP, access control, traffic classification, traffic queuing, traffic routing, traffic QOS, traffic demand reporting to QOS allocation servers, traffic statistics reporting to the QOS servers, traffic QOS reservation requests including by traffic type or app type or service priority to the servers, traffic throttling, traffic statistics gathering, traffic QOS priority identification, modem drivers, modem data encryption, and/or other stack element functionality or features.

[0058] In some embodiments, the above discussed service control mechanisms are controlled by policy commands received over the service control link from the servers or other authorized network elements. In some embodiments, the device also reports usage measures to servers or other authorized network elements. In some embodiments, the device also reports QOS demand to the servers or other authorized network elements and/or accepts QOS instructions from the servers or other authorized network elements. In some embodiments, the device reports traffic statistics, projected traffic demand, application usage, projected QOS demand can all be reported to the servers or other authorized network elements for the purpose of provisioning the right amount of data bandwidth and traffic priority to the device, and the servers or other authorized network elements aggregate such reports from many different devices to project needed allocations across the entire network and make global bearer channel level or base station level decisions bearer channel allocation and bearer channel QOS allocation decisions, which can also be tied into a bearer channel provisioning, or bearer channel QOS provisioning apparatus or other authorized network elements located in the access network.

[0059] For example, as will now be apparent to one of ordinary skill in the art in view of the various embodiments described herein, additional security measures, can be added in some embodiments to augment the secure service partitioning, including, for example, access control integrity checks. For example, in addition to the service control policy instructions that can be received from the servers or other authorized network elements, an intermediate policy control agent can be present to make additional higher level decisions on how instantaneous policy should be implemented.

[0060] As shown in Figure 3, the modem control link, shown as modem local channel 330, provides a link from local connection to the host service control link 118, which in turn connects through the host secure channel 150 to the service controller 152. This communication channel can also be implemented or configured to provide for encrypted communication and, in some embodiments, can be used as an alternative to the direct connection from the modem service control link to the network service control link as disclosed with respect to other figures and various embodiments as described herein.

[0061] As shown in Figure 3, the final stack elements that feed or communicate with the modem bus driver 121 are the protected DAS network stack elements 310 located in the protected DAS execution partition 314 (illustrated as a solid line in Figure 3), or, in some embodiments, can be the network stack elements 308 located in the kernel execution partition 312 (illustrated as a dashed line in Figure 3). In some embodiments, these final stack elements feed or communicate with the modem subsystem 125. In some embodiments, the modem subsystem 125 includes an encrypted link so that the stack elements 310 in the protected DAS execution partition 314 can communicate with the modem 128 but other software programs or hardware elements cannot, for example, thereby preventing the service measures and/or controls from being inappropriately bypassed or otherwise comprised. For example and as similarly discussed above, the modem subsystem 125, for example, can include its own the protected execution partition using various techniques described herein. The modem protected execution partition, for example, can also include a service measure (e.g., modem agent 226 can provide such a service measurement point in the modem subsystem 125, as similarly described above with respect to Figure 2) to increase service control integrity verification as depicted by service measure. The modem service measure can be included in protected execution partition that can

only be accessed by the service controller 122 by way of the modem local channel 330, or the modem service measure can only be accessed by another DAS agent 310 in protected execution partition 314. In some embodiments, the modem local channel 330 is implemented as a secure channel (e.g., an encrypted communication channel between the modem service control link 130 and the host service control link 118). As described herein, the modem driver can reside in protected service execution environment, or the modem traffic can be encrypted within service execution environment. For example, the encryption settings can be controlled by various secure control servers.

[0062] **Figure 4** illustrates another secure execution environment 400 for device assisted services in accordance with some embodiments. In particular, Figure 4 illustrates a direct stack manipulation option performed by the DAS agents executed in the protected DAS execution partition 414, including, as shown, an app(lication) identify agent 420, an access control integrity agent 422, a policy control agent 424, a policy implementation agent 426, a service measure/service monitoring agent 428, a modem encryption agent 430, and a bus driver 432. For example, the policy implementation agent 426 performs access control and/or traffic shaping according a set of service control policies. The service control policies, for example, can be set by the service controller 122 or by the service controller 122 in coordination with the policy control agent 422. As shown the app identify agent 420 is in communication with the various applications 106A through 106C executed in the application execution partition 402. As also shown, the various applications 106A through 106C executed in the application execution partition 402 are in communication with the OS stack and/or stack API(s) 408 executed in the kernel execution partition 412.

[0063] In some embodiments, the protected service measure agent 428, the modem encryption agent 430, the modem driver agent 432, the application identifier agent 420, the access control integrity agent 422, and the policy control agent 424 are all implemented in protected DAS partition 414, as shown. In some embodiments, as will now be apparent to one of ordinary skill in the art, a subset of these functions can be implemented in a protected execution partition, such as the protected DAS partition, in various circumstances.

[0064] Figure 4 also similarly shows various embodiments that are available for network based service usage measures and interfacing to the mediation and billing systems, and it should be understood that any or all of the embodiments and figures can be employed in the context of carrier networks, MVNOs, private networks, or open networks supporting enterprise IT manger controls, parental controls, multi-network controls, and/or roaming controls.

[0065] **Figure 5** illustrates another secure execution environment 500 for device assisted services in accordance with some embodiments. In particular, Figure 5 is similar to that Figure 4 except that Figure 5 illustrates a modem service control link 132 that is connected directly to the service controller 122 via the network service control link 152 (e.g., via a modem secure channel). In some embodiments, a modem control link for DAS is established locally on the device or through an entirely different control channel, which, in some embodiments, provides enhanced security as discussed herein (e.g., it is very difficult to hack a service usage measure or service control that cannot be accessed on the device).

[0066] **Figure 6** illustrates another secure execution environment 600 for device assisted services in accordance with some embodiments. In particular, Figure 6 illustrates a policy implementation agent 616 that includes the entire networking stack running in protected execution partition 614 and an OS stack API 608 that includes an application identifying function 620 in the kernel execution partition 612.

[0067] **Figure 7** illustrates another secure execution environment 700 for device assisted services in accordance with some embodiments. In particular, Figure 7 illustrates DAS agents that do not replace the OS network stack elements, but instead one or more DAS agents are comprised of device driver programs that interface into the network stack and pass traffic information or actual traffic back and forth with the stack. These device driver interface constructs are labeled OS driver framework and interface 722 in Figure 7 as similarly shown in and described with respect to Figure 2, along with OS stack API 708, which includes application identifier function 720 as similarly discussed above with respect to Figure 6, and are executed in kernel execution partition 712. Also, as shown, application partition DAS agents 104 are executed in application execution partition 702. The main difference between the embodiment in Figure 7 and that shown in and described with respect to Figure 2 is that the service measure

agent 428, modem encryption agent 430, and modem driver agent 432 are executed in the protected DAS partition 714, as shown in Figure 7. For example, this provides for enhanced service control security as described herein with respect to various embodiments.

[0068] **Figure 8** illustrates another secure execution environment 800 for device assisted services in accordance with some embodiments. In particular, Figure 8 illustrates a more simplified embodiment that is similar to that of Figure 7. In Figure 8, only an access control integrity agent 422 and a service measure 428 are executed in protected DAS partition 814, and the bus driver 432 and the service measurement and/or policy control drivers 210 are executed in the kernel execution partition 712. This embodiment illustrates that provided that at least one protected service measure is provided on the device, then the DAS service control integrity can be very high. For example, if it is not possible to access the program code or control traffic for the service measure agent 428, and the host service control link 118 except through the encrypted control channel from the service controller 122, then this simplified configuration can be almost as secure as that possible with network based service measures. It will now be apparent to one of ordinary skill in the art that this technique similarly applies to a service measure and control link similarly implemented in a protected modem execution partition 324. In some embodiments, the access control integrity agent 422 provides additional security, for example, in the event that the protected DAS partition 814 is breached or compromised.

[0069] **Figure 9** illustrates another secure execution environment 900 for device assisted services in accordance with some embodiments. In particular, Figure 9 illustrates an embodiment similar to that of Figure 8 except that, in particular, in addition to the service measure being executed in protected DAS partition 914, the modem encryption agent 430 is also implemented in/executed in the protected DAS partition 914. For example, this prevents unauthorized software from defeating the service measurements and/or service controls by going around the network stack directly to the modem.

[0070] **Figure 10** illustrates another secure execution environment 1000 for device assisted services in accordance with some embodiments. In particular, Figure 10 illustrates an embodiment similar to that of Figure 9 except that, in particular, there are additional app partition DAS agents 104 executing in the application execution partition 702. For example, this

illustrates that some DAS agents can be implemented in application space (e.g., UI agent, policy control agent, and various other DAS agents as described herein) while still maintaining a high level of service measurement and/or control security as long as there are a few key measures and/or controls implemented in protected execution partitions using the various techniques described herein.

[0071] **Figure 11** illustrates another secure execution environment 1100 for device assisted services in accordance with some embodiments. In particular, Figure 11 illustrates how the server cloud can be assisted by the on board access control integrity agent to detect tampering with other service measurement(s) and/or control agent(s), or to protect the service measurement and/or control system from being attacked by malware and/or otherwise comprised. As shown, the access control integrity agent 422 executes inside the protected DAS partition 1114 and is in communication with file storage 1130 (e.g., for persistently maintaining device status and/or other settings or status or monitoring information). The access control integrity agent 422 performs the various access control integrity check functions as, for example, described herein with respect to various embodiments, and, in some embodiments, in coordination with the servers over the secure control channel (e.g., host secure channel 150). In some embodiments, the access control integrity agent 422 can send the service controller 122 information about the other service measurements and/or control agents so that the service controller 122 can determine if the agents are working properly or have been tampered with or otherwise compromised. For example, such information can include sections of code, hashes, code segments, code variations from a previous image, code variations from a historical image, responses to queries, checksums, observations of operating behavior or patterns, service usage, policy implementation behavior, and/or other information that may be indicative of tampering, corruption, and/or a compromise of any of the device agents/measures. In some embodiments, the access control integrity agent 422 checks the operating environment for signs of malware signatures, or sends application and/or driver information or other information about the operating environments to the servers for further processing to detect malware. In some embodiments, the access control integrity agent 422 performs basic operations on protected DAS partition memory, kernel execution partition memory areas, application execution partition memory areas, on disk storage areas or on other file storage areas to detect known malware hashes or signatures, etc., or the access control integrity agent 422 can send the hashes to the

servers for comparison against malware databases (e.g., to compare against signatures for known malware or for further behavioral based or other security/malware detection techniques).

[0072] In some embodiments, the DAS system is implemented in a manner that is robust to losses in service control link (e.g., coverage outages on a WWAN link or loss of connection on a wired link). In some embodiments, the DAS system to be implemented in a manner that is robust to one or more server elements in the service controller going offline or failing for any reason. The following embodiments facilitate these techniques, as described below.

[0073] In some embodiments, it is advantageous for one or more of the device assisted service agents to maintain a record of the service usage reports and/or other reporting that is provided to the service controller regarding device service control state (e.g., present service plan settings, current service usage policy settings, current user preference settings, current DAS settings, current encrypted control channel and/or local encrypted communication channel key information, current DAS agent status reports, current DAS agent security state reports, current ambient service usage and/or transaction records, current service control integrity threat reports, user status information, device status information, application status information, device location, device QOS state, and/or other state and/or settings information). In addition to such information that exists on the device and is reported to the service controller, additional service information can be derived and recorded in the service controller, such as information received from outside the device and/or analysis of the device reported information (e.g., network based service usage measures, analysis of device service usage, comparison of device reports with other information, analysis of access control integrity agent reports, information received from roaming networks, information input to the service controller from parental control terminals, enterprise control terminals, virtual service provider control terminals, access network authorization information, service integrity violation level, and many other types of information used to properly measure and/or control the device services). For example, the information reported from the device and received or derived outside the device that is required to adequately define the actions needed from the service controller to maintain proper DAS system operation is sometimes referred to herein as the "device service state."

[0074] In some embodiments, the service controller functions are highly scalable and can be executed on a number of hardware and software platforms (e.g., different virtual machines in a server, different servers in a data center, or different servers located in different data centers). For example, in such embodiments the service controller can be designed so that the programs that execute the various service controller server functions can derive all of the information necessary to properly manage the device at any moment in time by knowing past device service state and current service state that adequately define the next set of actions the service controller needs to implement to properly maintain the DAS system operation. By designing the system in this way, if the server that is running the service controller server functions for any given device in question were to go down or become disconnected from the device, then another server could later resume proper operation of the DAS system by assigning another service controller server function to the device and recovering or restoring the necessary past device service state and the necessary current device service state.

[0075] For example, this can be accomplished in some embodiments as described below. The service controller saves the current device service state into a common database (e.g., which can be centralized or distributed) that is available to all service controller server functions. The device service state is saved each time the device communicates with the service controller, or at regular time intervals, or a combination of both. The device retains its current and past service state reports even after they are reported at least until the service controller sends the device a message confirming that the service controller has saved a given device service state. Once the device receives this save confirmation for a given device state report then it is no longer required to retain that particular device state report once the device has no further use for it. In this manner, if a service controller server function goes down then a save confirmation for one or more reported device states is not transmitted to the device by the service controller, and the device can retain that report. A server load balancer detects that a given service controller server function has gone down, looks up the devices that were being controlled by that service controller server function, finds that the device in question was one of those devices and re-assigns a new service controller server function (either in the same data center or in another data center) to control the device in question. The newly assigned service controller server function then recovers all past device states that were recorded in the service controller database and are required to properly manage the DAS system, and then asks the device to transmit or re-transmit

all device state reports that were not saved in the service controller database. Once the device transmits or re-transmits the requested information, the newly assigned service controller function then has the information it needs to properly manage the DAS system, it saves all the reported device state information, and then sends save confirmations to the device so that the device need no longer retain the older service state reports. The newly assigned service controller server function can then resume the DAS system operation with a set of actions that are identical or very similar to the actions that would have been taken by the original service controller server function if it had not gone down. One of ordinary skill in the art will now appreciate that the above techniques can also be used to accommodate temporary losses in the connection between the device and the service controller. For example, such techniques provide for a highly scalable and robust approach to implement a distributed service controller across multiple data centers for reliable service redundancy. In some embodiments, the past device service state information is saved in the protected DAS execution partition and/or the modem execution partition, for example, so that it is protected from corruption.

[0076] Although the foregoing embodiments have been described in some detail for purposes of clarity of understanding, the invention is not limited to the details provided. There are many alternative ways of implementing the invention. The disclosed embodiments are illustrative and not restrictive.

[0077] WHAT IS CLAIMED IS:

CLAIMS

1. A system, comprising:

a processor of a communications device configured to:

implement a service profile executed at least in part in a secure execution environment for assisting control of the communications device use of a service on a wireless network, wherein the service profile includes a plurality of service policy settings, and wherein the service profile is associated with a service plan that provides for access to the service on the wireless network;

monitor use of the service based on the service profile; and

verify the use of the service based on the monitored use of the service;

a memory of the communications device coupled to the processor and configured to provide the processor with instructions.

2. The system recited in claim 1, wherein the use of the service is verified based at least in part on device based service usage information.

3. The system recited in claim 1, wherein the communications device is a mobile communications device or an intermediate networking device, and the service includes one or more Internet based services.

4. The system recited in claim 1, wherein the communications device includes a modem, and the processor is located in the modem.

5. The system recited in claim 1, wherein the communications device is a mobile communications device, and the service includes one or more Internet based services, and wherein the mobile communications device includes one or more of the following: a mobile phone, a PDA, an eBook reader, a music device, an entertainment/gaming device, a computer, laptop, a netbook, a tablet, and a home networking system.

6. The system recited in claim 1, wherein the service plan allows for access to the service with service capabilities that are controlled based on one or more of the following: period of time, network address, service type, content type, application type, bandwidth, and data usage.

7. The system recited in claim 1, wherein the service policy settings include one or more of the following: access control settings, traffic control settings, billing system settings, user notification with acknowledgement settings, user notification with synchronized service usage information, user privacy settings, user preference settings, authentication settings, admission control settings, application access settings, content access settings, transaction settings, and network or device management communication settings.

8. The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition.

9. The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part as a hardware partition.

10. The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part as a software partition.

11. The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and wherein the protected device assisted service execution partition is implemented at least in part in a virtual machine executed on the processor.

12. The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and the processor is further configured to:

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller.

13. The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and the processor is further configured to:

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include a device agent for providing a service usage measure.

14. The system recited in claim 1, wherein the secure execution environment includes a protected device assisted service execution partition, and the processor is further configured to:

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in secure communication with a server executing a service controller, and wherein the secure communication with the server executing the service controller includes encrypted communications.

15. The system recited in claim 1, wherein the communications device includes a modem, and the processor is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware and/or software partition, and wherein the processor is further configured to:

execute one or more device assisted service agents in the secure modem execution partition, wherein the device assisted service agents executed in the secure modem execution partition are in communication with a server executing a service controller.

16. The system recited in claim 1, wherein the communications device includes a modem, and the processor is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware and/or software partition, and wherein the processor is further configured to:

execute one or more device assisted service agents in the secure modem execution partition, wherein the device assisted service agents executed in the secure modem execution partition are in secure communication with a server executing a service controller, and wherein the secure communication with the server executing the service controller includes encrypted communications.

17. The system recited in claim 1, wherein the communications device includes a modem, and the processor is located in the modem, and wherein the secure execution environment includes a secure modem execution partition that is implemented using a hardware and/or software partition, and wherein the processor is further configured to:

execute one or more device assisted service agents in the secure modem execution partition, wherein one or more device assisted service agents executed in the secure modem execution partition include a modem agent for providing service usage measure.

18. The system recited in claim 1, wherein the processor of the communications device is further configured to:

execute one or more device assisted service agents in a kernel execution partition; and

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller.

19. The system recited in claim 1, wherein the processor of the communications device is further configured to:

execute one or more device assisted service agents in an application execution partition;

execute one or more device assisted service agents in a kernel execution partition; and

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller.

20. The system recited in claim 1, wherein the processor of the communications device is further configured to:

execute one or more device assisted service agents in an application execution partition;

execute one or more device assisted service agents in a kernel execution partition;

execute one or more device assisted service agents in a modem execution partition; and

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller.

21. The system recited in claim 1, wherein the processor of the communications device is further configured to:

execute one or more device assisted service agents in an application execution partition;

execute one or more device assisted service agents in a kernel execution partition;

execute one or more device assisted service agents in a modem execution partition; and

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller, and wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent.

22. The system recited in claim 1, wherein the processor of the communications device is further configured to:

execute one or more device assisted service agents in an application execution partition;

execute one or more device assisted service agents in a kernel execution partition;

execute one or more device assisted service agents in a modem execution partition, wherein the modem execution partition is in communication with the protected device assisted execution partition using a modem local channel; and

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition are in communication with a server executing a service controller, and wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent.

23. The system recited in claim 1, wherein the processor of the communications device is further configured to:

execute one or more device assisted service agents in an application execution partition;

execute one or more device assisted service agents in a kernel execution partition;

execute one or more device assisted service agents in a modem execution partition, wherein the modem execution partition is in communication with the protected device assisted execution partition using a modem local channel, and wherein the one or more device assisted service agents in the modem execution partition include a service usage measure agent; and

execute one or more device assisted service agents in the protected device assisted service execution partition, wherein the one or more device assisted service agents executed in the protected device assisted service execution partition in communication with a server executing a service controller, and wherein the one or more device assisted service agents executed in the protected device assisted service execution partition include one or more of the following: an application identifier agent, an access control integrity agent, a policy control agent, a policy implementation agent, and a service usage measure agent.

24. A method, comprising:

implementing a service profile executed at least in part in a secure execution environment of a processor of a communications device for assisting control of the communications device use of a service on a wireless network, wherein the service profile includes a plurality of service policy settings, and wherein the service profile is associated with a service plan that provides for access to the service on the wireless network;

monitoring use of the service based on the service profile; and

verifying the use of the service based on the monitored use of the service.

25. A computer program product, the computer program product being embodied in a computer readable storage medium and comprising computer instructions for:

implementing a service profile executed at least in part in a secure execution environment of a processor of a communications device for assisting control of the communications device use of a service on a wireless network, wherein the service profile includes a plurality of service policy settings, and wherein the service profile is associated with a service plan that provides for access to the service on the wireless network;

monitoring use of the service based on the service profile; and

verifying the use of the service based on the monitored use of the service.

SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES

ABSTRACT OF THE DISCLOSURE

[0078] Security techniques for device assisted services are provided. In some embodiments, secure service measurement and/or control execution partition is provided. In some embodiments, implementing a service profile executed at least in part in a secure execution environment of a processor of a communications device for assisting control of the communications device use of a service on a wireless network, in which the service profile includes a plurality of service policy settings, and wherein the service profile is associated with a service plan that provides for access to the service on the wireless network; monitoring use of the service based on the service profile; and verifying the use of the service based on the monitored use of the service.

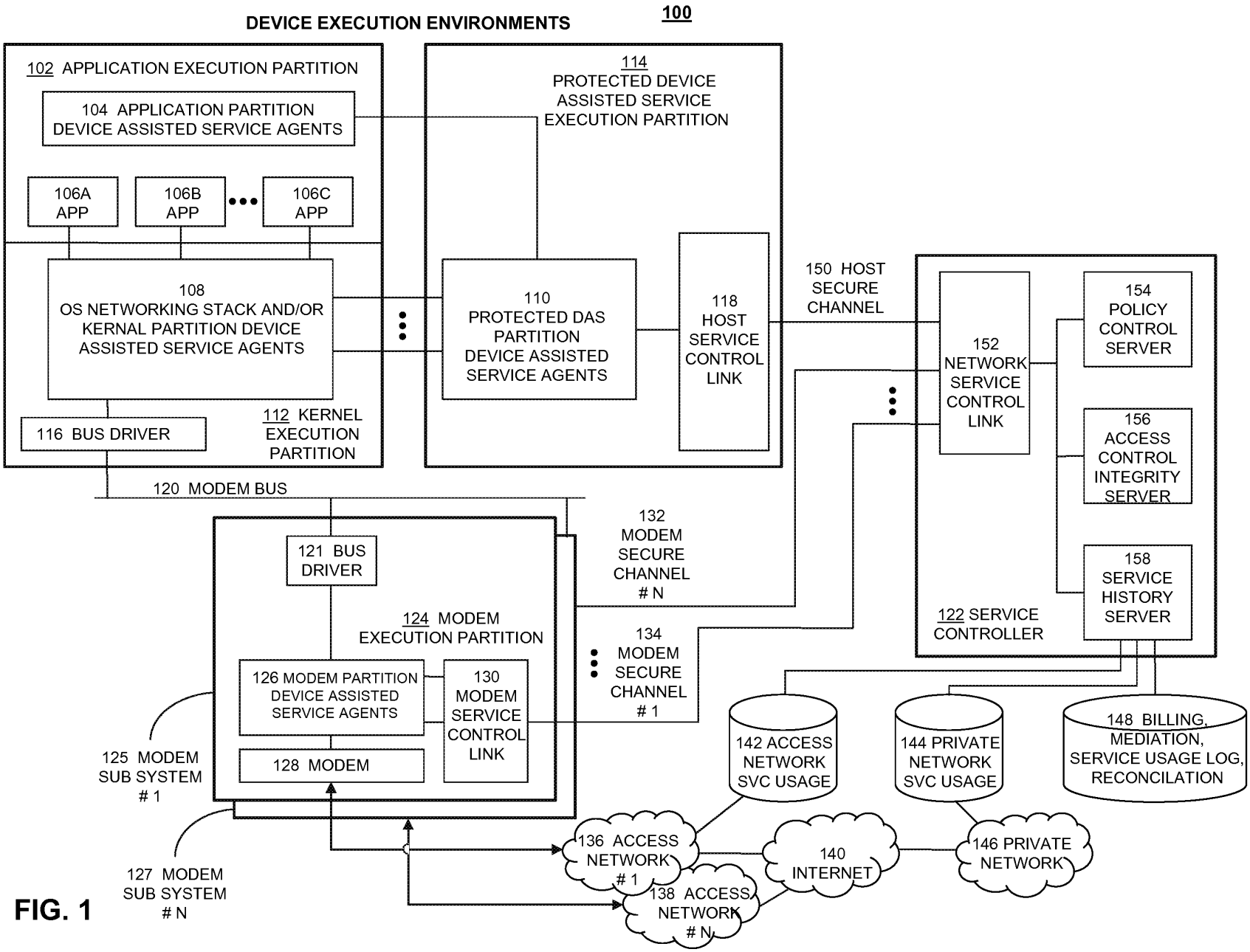

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102 APPLICATION EXECUTION PARTITION
104 APPLICATION PARTITION DEVICE ASSISTED SERVICE AGENTS
106A APP
106B APP
106C APP
108 OS NETWORKING STACK AND/OR KERNAL PARTITION DEVICE ASSISTED SERVICE AGENTS
116 BUS DRIVER
112 KERNEL EXECUTION PARTITION
114 PROTECTED DEVICE ASSISTED SERVICE EXECUTION PARTITION
110 PROTECTED DAS PARTITION DEVICE ASSISTED SERVICE AGENTS
118 HOST SERVICE CONTROL LINK
150 HOST SECURE CHANNEL
152 NETWORK SERVICE CONTROL LINK
154 POLICY CONTROL SERVER
156 ACCESS CONTROL INTEGRITY SERVER
158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
120 MODEM BUS
121 BUS DRIVER
124 MODEM EXECUTION PARTITION
126 MODEM PARTITION DEVICE ASSISTED SERVICE AGENTS
128 MODEM
130 MODEM SERVICE CONTROL LINK
132 MODEM SECURE CHANNEL # N
134 MODEM SECURE CHANNEL # 1
125 MODEM SUB SYSTEM # 1
127 MODEM SUB SYSTEM # N
142 ACCESS NETWORK SVC USAGE
144 PRIVATE NETWORK SVC USAGE
148 BILLING, MEDIATION, SERVICE USAGE LOG, RECONCILATION
136 ACCESS NETWORK # 1
138 ACCESS NETWORK # N
140 INTERNET
146 PRIVATE NETWORK

FIG. 1

310

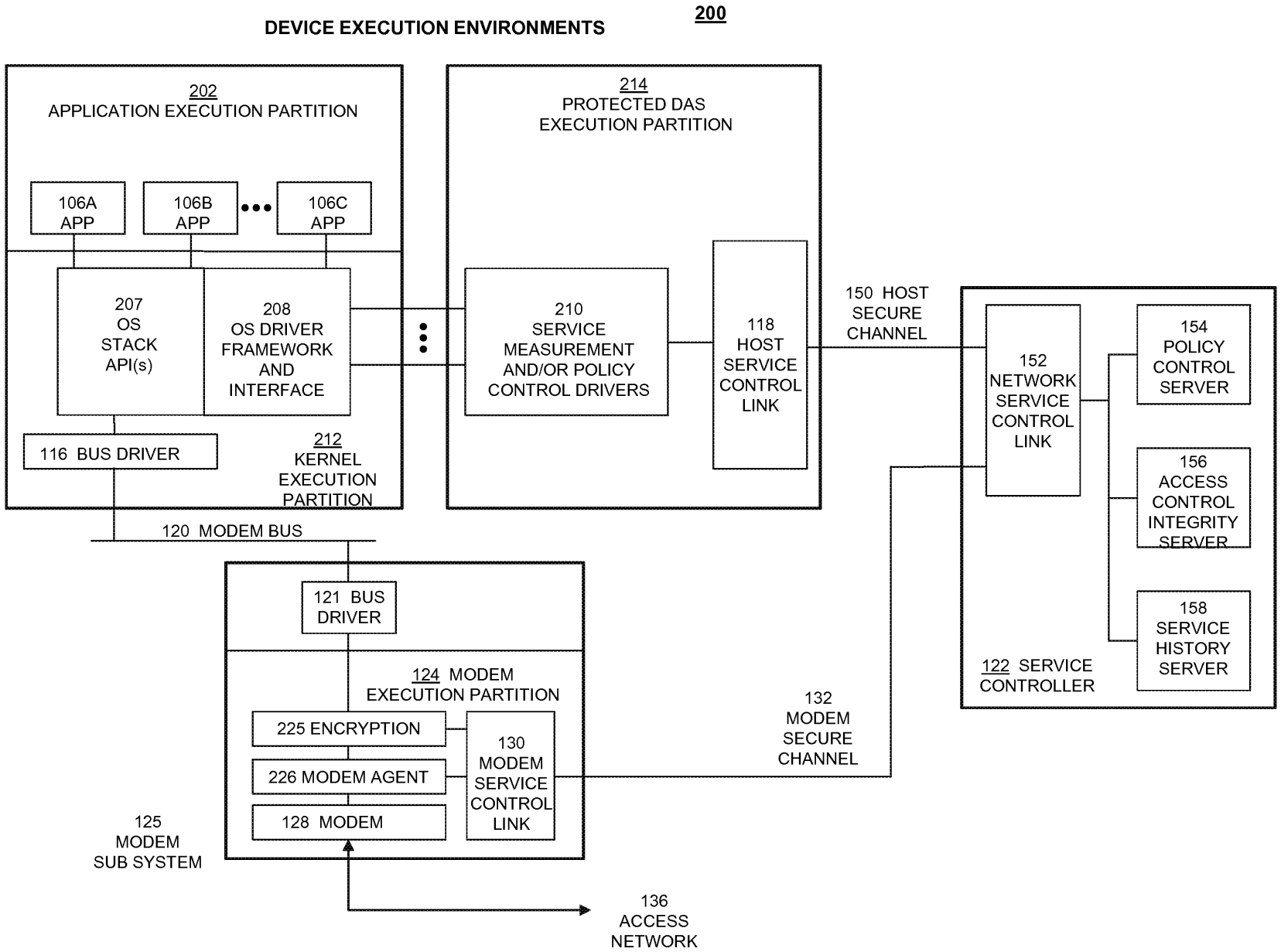

DEVICE EXECUTION ENVIRONMENTS
200
202
APPLICATION EXECUTION PARTITION
106A APP
106B APP
106C APP
207 OS STACK API(s)
208 OS DRIVER FRAMEWORK AND INTERFACE
116 BUS DRIVER
212 KERNEL EXECUTION PARTITION
214
PROTECTED DAS EXECUTION PARTITION
210 SERVICE MEASUREMENT AND/OR POLICY CONTROL DRIVERS
118 HOST SERVICE CONTROL LINK
150 HOST SECURE CHANNEL
152 NETWORK SERVICE CONTROL LINK
154 POLICY CONTROL SERVER
156 ACCESS CONTROL INTEGRITY SERVER
158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
120 MODEM BUS
121 BUS DRIVER
124 MODEM EXECUTION PARTITION
225 ENCRYPTION
226 MODEM AGENT
128 MODEM
130 MODEM SERVICE CONTROL LINK
132 MODEM SECURE CHANNEL
125 MODEM SUB SYSTEM
136 ACCESS NETWORK

FIG. 2

311

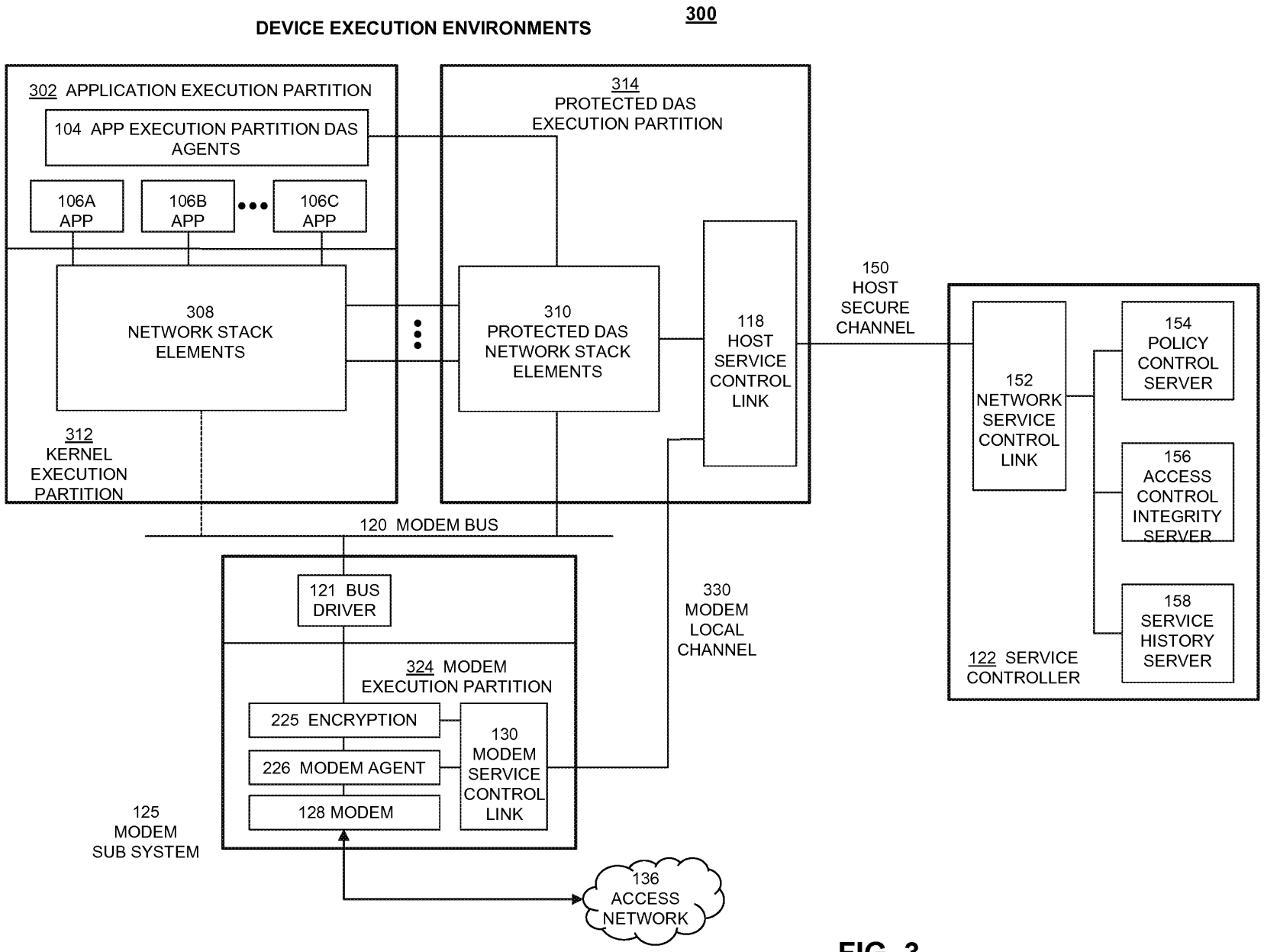

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302 APPLICATION EXECUTION PARTITION
104 APP EXECUTION PARTITION DAS AGENTS
106A APP
106B APP
106C APP
308 NETWORK STACK ELEMENTS
312 KERNEL EXECUTION PARTITION
314 PROTECTED DAS EXECUTION PARTITION
310 PROTECTED DAS NETWORK STACK ELEMENTS
118 HOST SERVICE CONTROL LINK
150 HOST SECURE CHANNEL
152 NETWORK SERVICE CONTROL LINK
154 POLICY CONTROL SERVER
156 ACCESS CONTROL INTEGRITY SERVER
158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
120 MODEM BUS
121 BUS DRIVER
330 MODEM LOCAL CHANNEL
324 MODEM EXECUTION PARTITION
225 ENCRYPTION
226 MODEM AGENT
128 MODEM
130 MODEM SERVICE CONTROL LINK
125 MODEM SUB SYSTEM
136 ACCESS NETWORK
312

FIG. 3

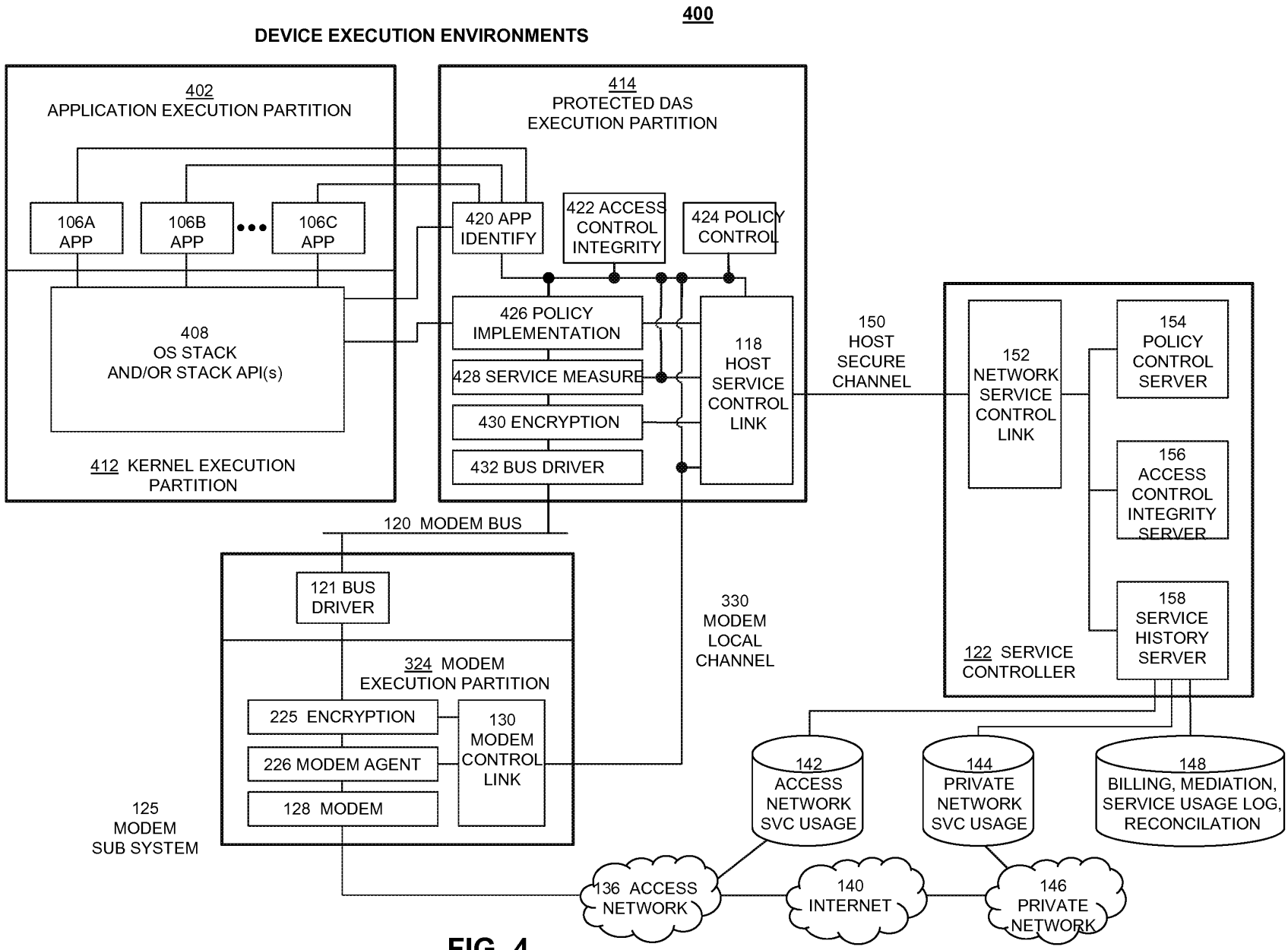

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DEVICE EXECUTION ENVIRONMENTS
402
APPLICATION EXECUTION PARTITION
106A APP
106B APP
106C APP
408 OS STACK AND/OR STACK API(s)
412 KERNEL EXECUTION PARTITION
414
PROTECTED DAS EXECUTION PARTITION
420 APP IDENTIFY
422 ACCESS CONTROL INTEGRITY
424 POLICY CONTROL
426 POLICY IMPLEMENTATION
428 SERVICE MEASURE
430 ENCRYPTION
432 BUS DRIVER
118 HOST SERVICE CONTROL LINK
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152 NETWORK SERVICE CONTROL LINK
154 POLICY CONTROL SERVER
156 ACCESS CONTROL INTEGRITY SERVER
158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
120 MODEM BUS
121 BUS DRIVER
330 MODEM LOCAL CHANNEL
324 MODEM EXECUTION PARTITION
225 ENCRYPTION
226 MODEM AGENT
128 MODEM
130 MODEM CONTROL LINK
125 MODEM SUB SYSTEM
142 ACCESS NETWORK SVC USAGE
144 PRIVATE NETWORK SVC USAGE
148 BILLING, MEDIATION, SERVICE USAGE LOG, RECONCILATION
136 ACCESS NETWORK
140 INTERNET
146 PRIVATE NETWORK

FIG. 4

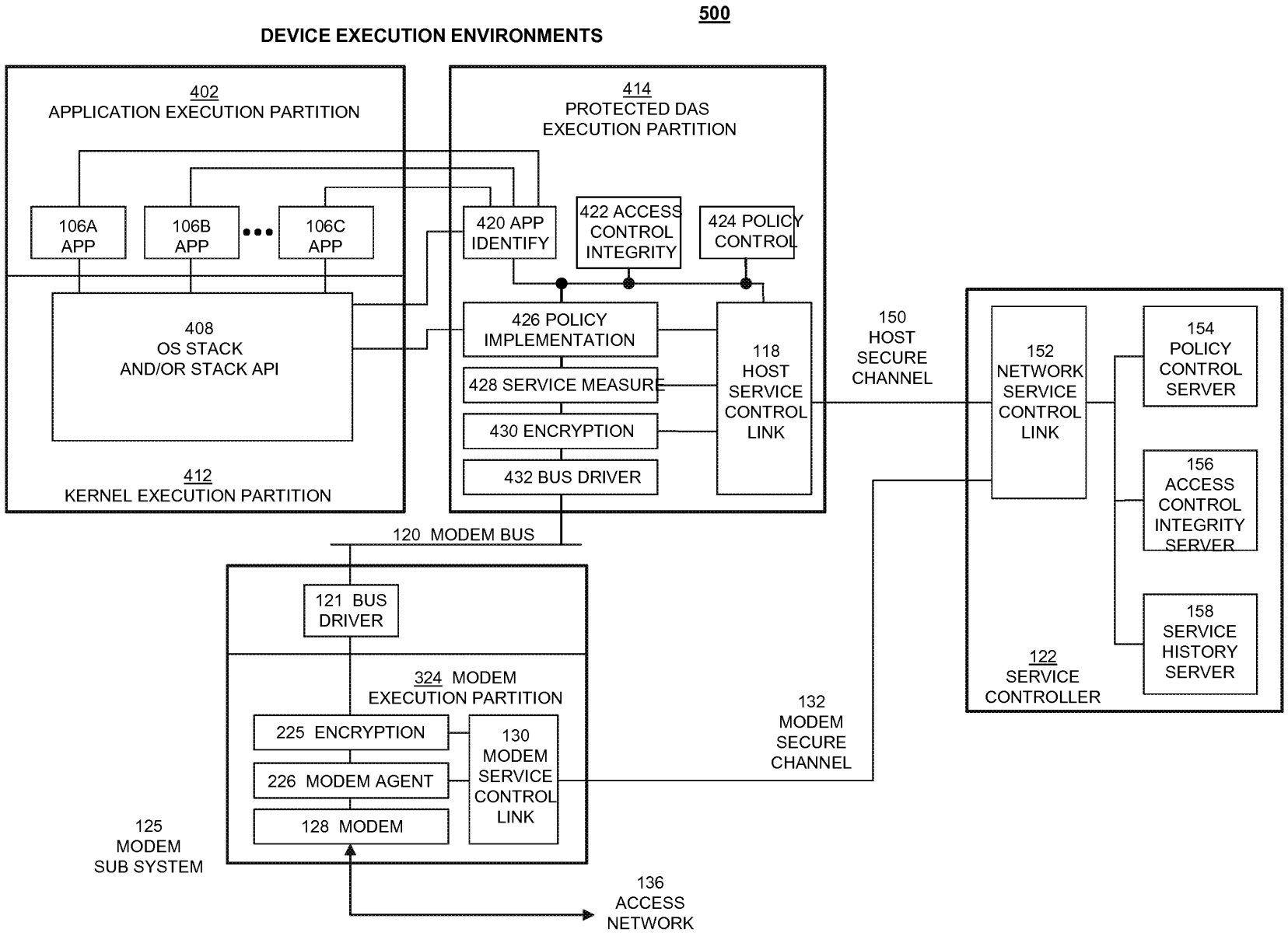

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106C APP
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KERNEL EXECUTION PARTITION
414
PROTECTED DAS EXECUTION PARTITION
420 APP IDENTIFY
422 ACCESS CONTROL INTEGRITY
424 POLICY CONTROL
426 POLICY IMPLEMENTATION
428 SERVICE MEASURE
430 ENCRYPTION
432 BUS DRIVER
118 HOST SERVICE CONTROL LINK
150 HOST SECURE CHANNEL
152 NETWORK SERVICE CONTROL LINK
154 POLICY CONTROL SERVER
156 ACCESS CONTROL INTEGRITY SERVER
158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
120 MODEM BUS
121 BUS DRIVER
324 MODEM EXECUTION PARTITION
225 ENCRYPTION
226 MODEM AGENT
128 MODEM
130 MODEM SERVICE CONTROL LINK
132 MODEM SECURE CHANNEL
125 MODEM SUB SYSTEM
136 ACCESS NETWORK
314

FIG. 5

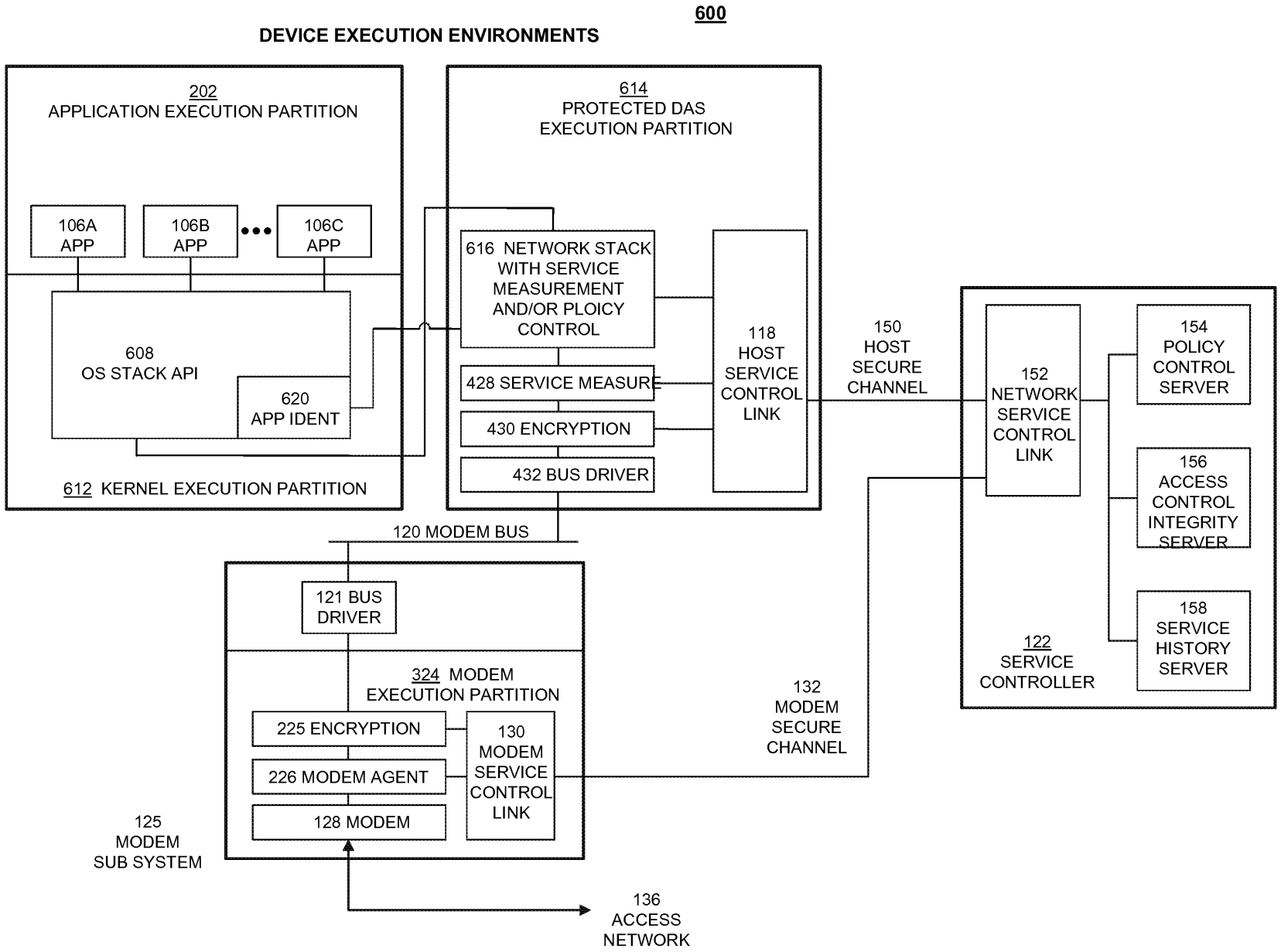

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106B APP
106C APP
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620 APP IDENT
612 KERNEL EXECUTION PARTITION
614
PROTECTED DAS EXECUTION PARTITION
616 NETWORK STACK WITH SERVICE MEASUREMENT AND/OR PLOICY CONTROL
428 SERVICE MEASURE
430 ENCRYPTION
432 BUS DRIVER
118 HOST SERVICE CONTROL LINK
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156 ACCESS CONTROL INTEGRITY SERVER
158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
120 MODEM BUS
121 BUS DRIVER
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315

FIG. 6

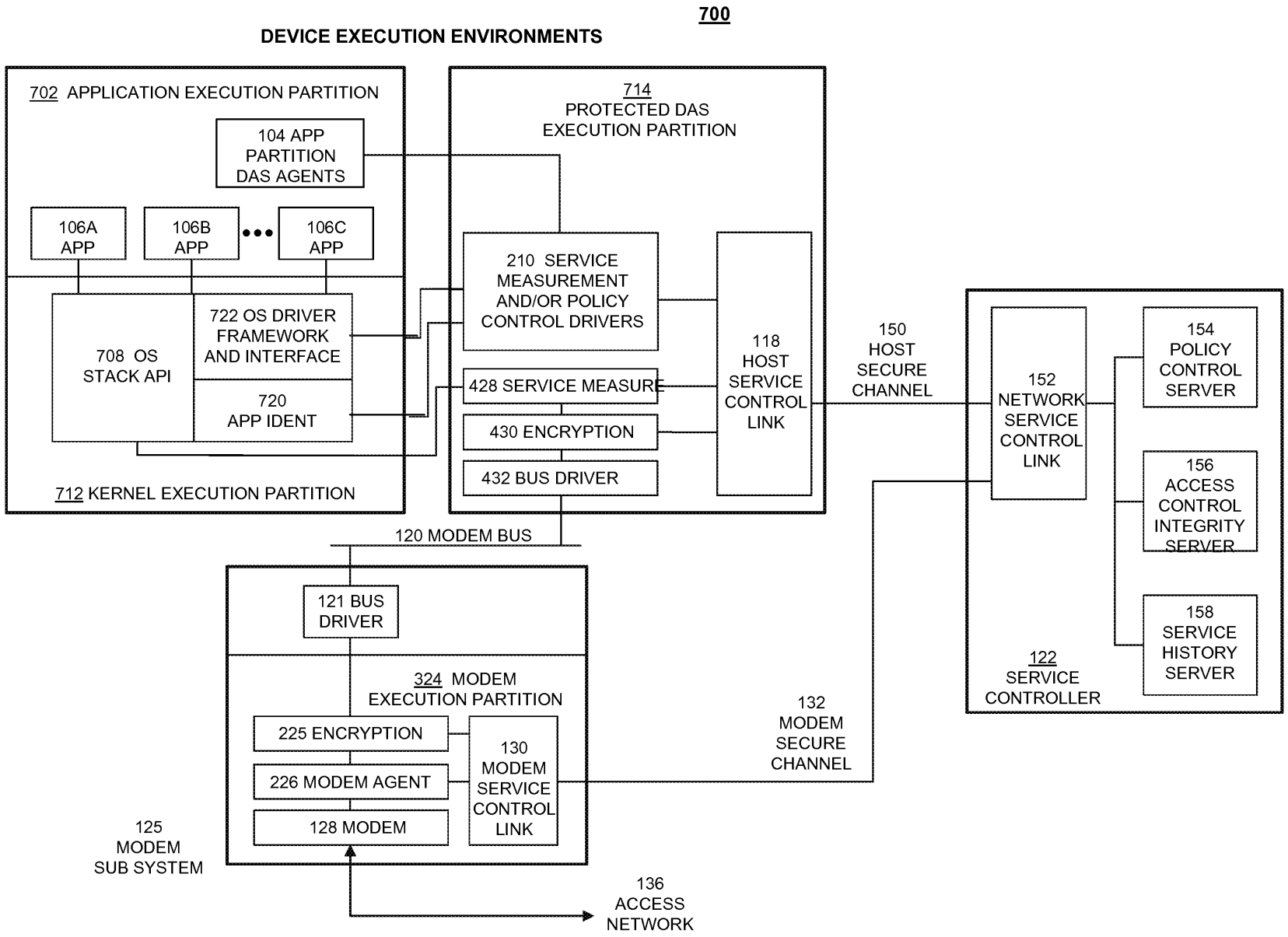

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714 PROTECTED DAS EXECUTION PARTITION
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430 ENCRYPTION
432 BUS DRIVER
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150 HOST SECURE CHANNEL
152 NETWORK SERVICE CONTROL LINK
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121 BUS DRIVER
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225 ENCRYPTION
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125 MODEM SUB SYSTEM
136 ACCESS NETWORK
316

FIG. 7

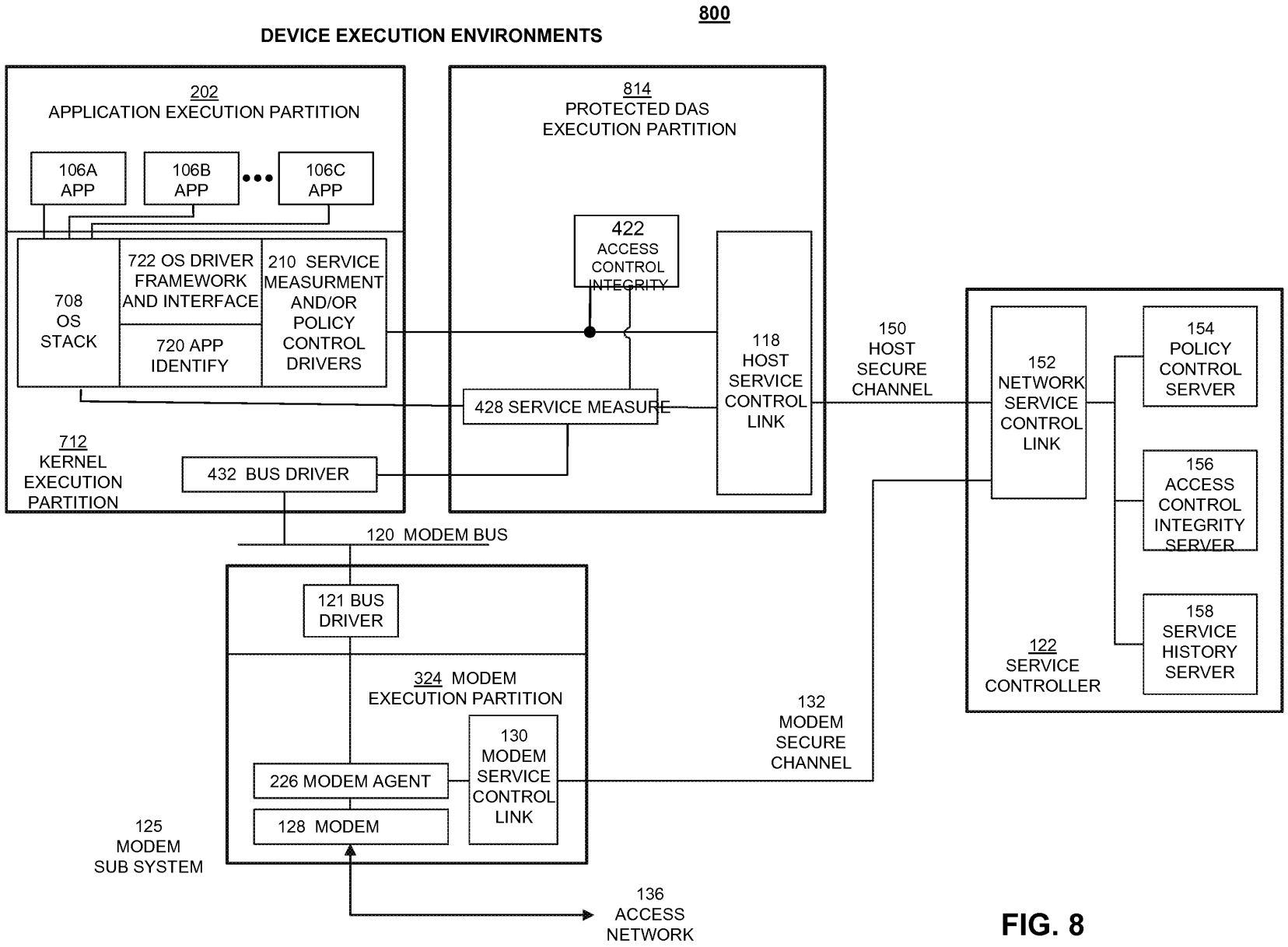

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712 KERNEL EXECUTION PARTITION
432 BUS DRIVER
814
PROTECTED DAS EXECUTION PARTITION
422 ACCESS CONTROL INTEGRITY
428 SERVICE MEASURE
118 HOST SERVICE CONTROL LINK
150 HOST SECURE CHANNEL
152 NETWORK SERVICE CONTROL LINK
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122 SERVICE CONTROLLER
120 MODEM BUS
121 BUS DRIVER
324 MODEM EXECUTION PARTITION
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226 MODEM AGENT
128 MODEM
125 MODEM SUB SYSTEM
136 ACCESS NETWORK

FIG. 8

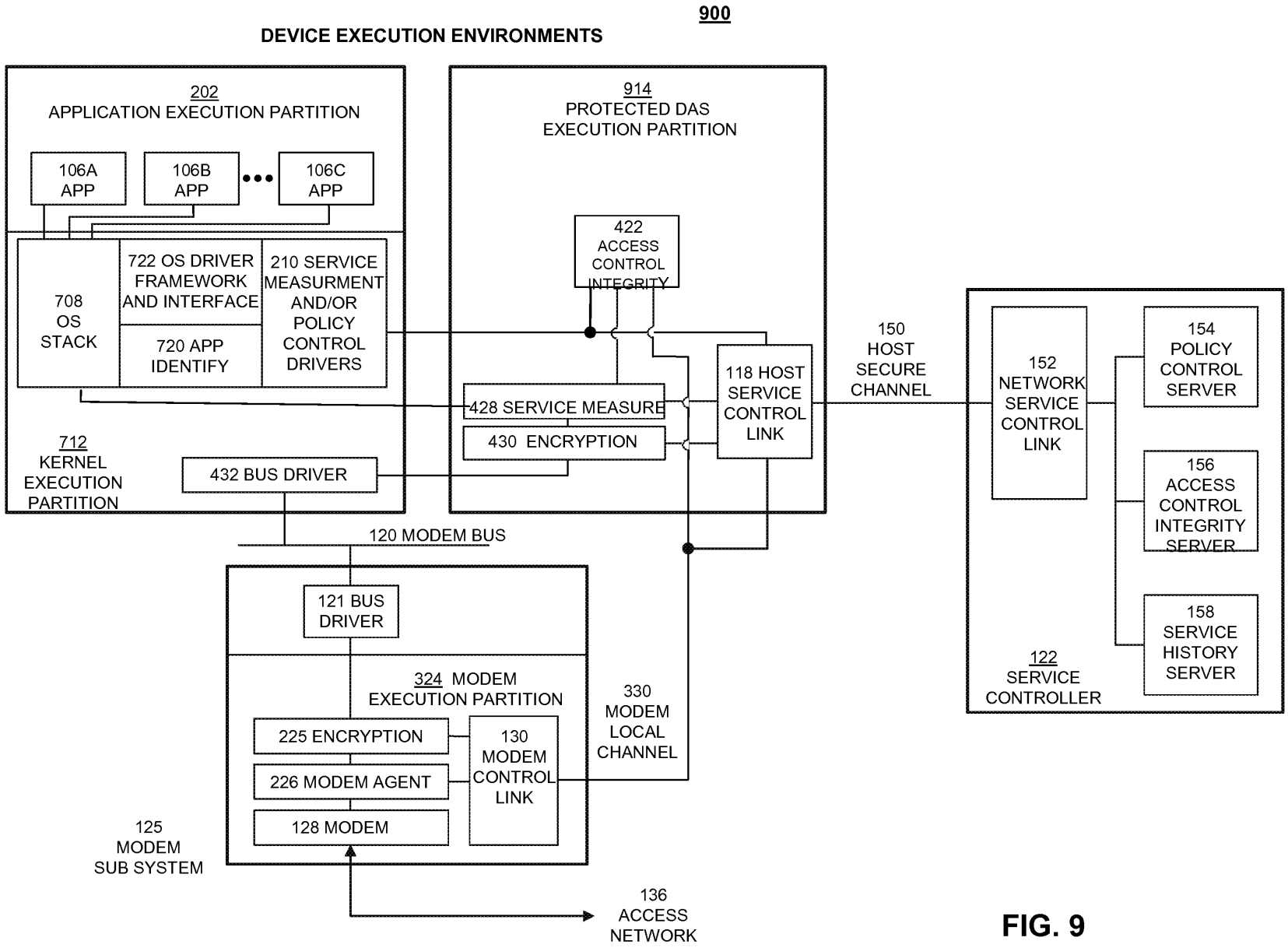

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432 BUS DRIVER
914 PROTECTED DAS EXECUTION PARTITION
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120 MODEM BUS
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136 ACCESS NETWORK
318

FIG. 9

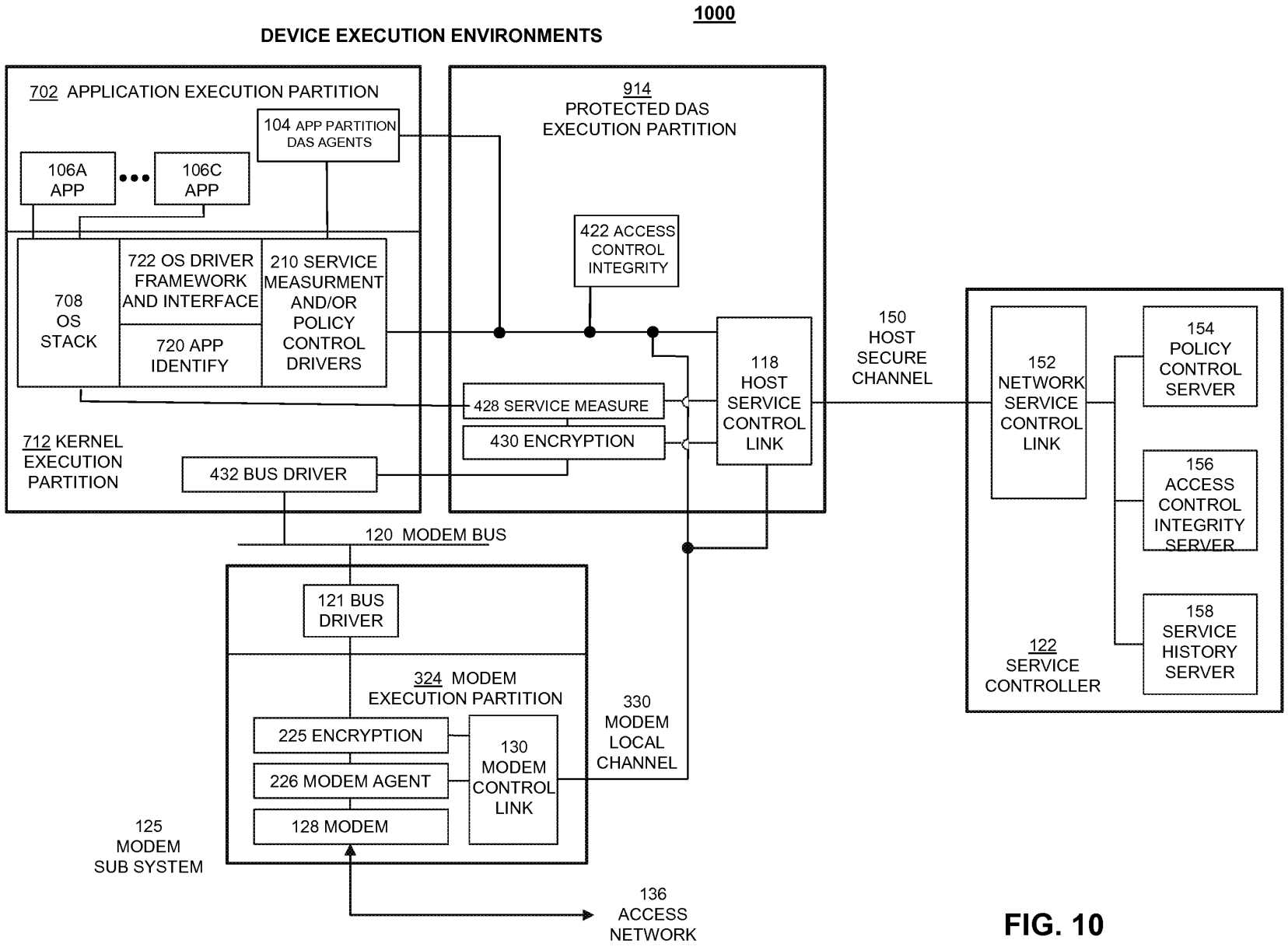

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432 BUS DRIVER
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422 ACCESS CONTROL INTEGRITY
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430 ENCRYPTION
118 HOST SERVICE CONTROL LINK
150 HOST SECURE CHANNEL
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158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
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121 BUS DRIVER
324 MODEM EXECUTION PARTITION
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330 MODEM LOCAL CHANNEL
125 MODEM SUB SYSTEM
136 ACCESS NETWORK

FIG. 10

319

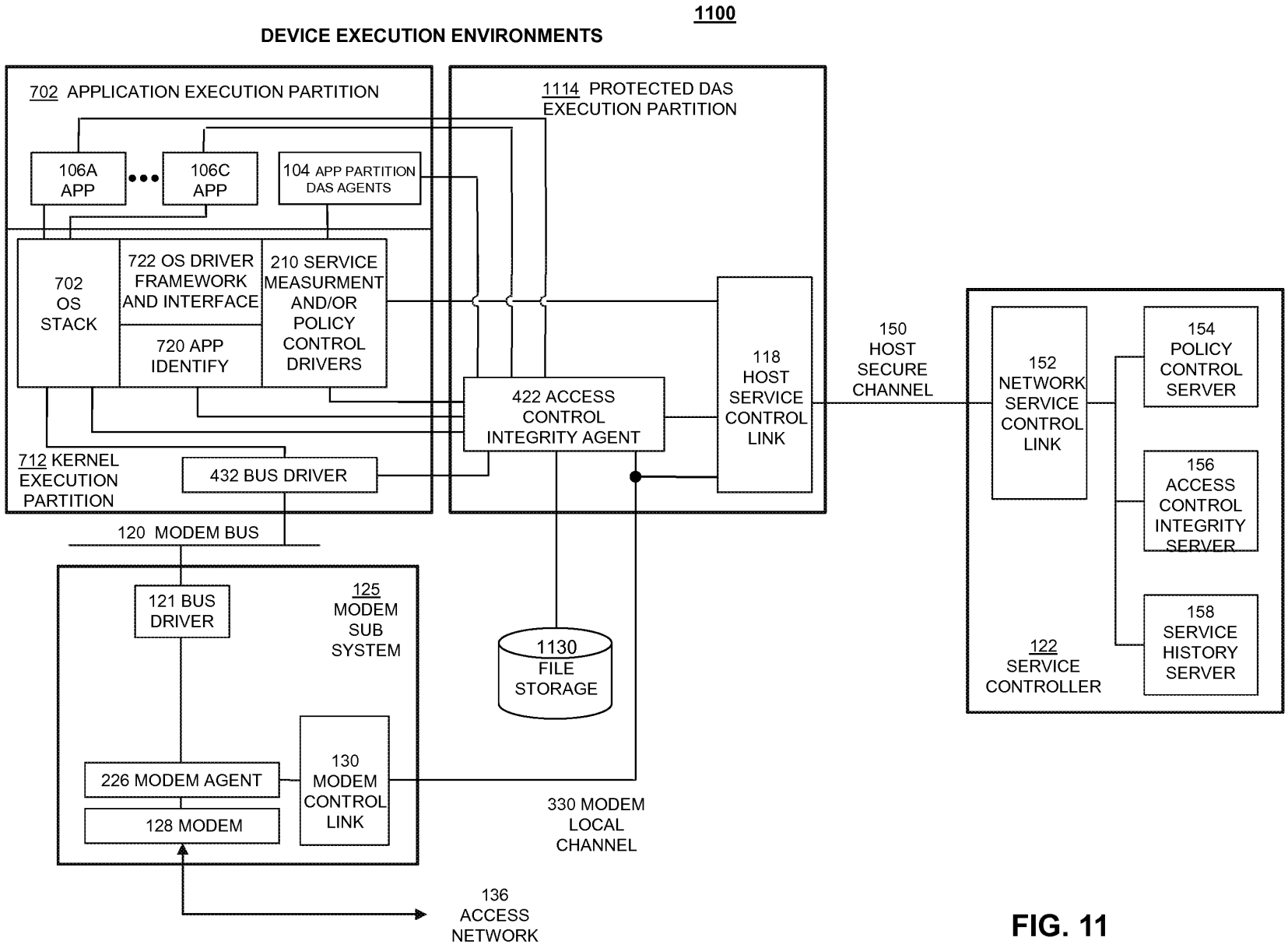

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720 APP IDENTIFY
210 SERVICE MEASURMENT AND/OR POLICY CONTROL DRIVERS
422 ACCESS CONTROL INTEGRITY AGENT
118 HOST SERVICE CONTROL LINK
150 HOST SECURE CHANNEL
152 NETWORK SERVICE CONTROL LINK
154 POLICY CONTROL SERVER
156 ACCESS CONTROL INTEGRITY SERVER
158 SERVICE HISTORY SERVER
122 SERVICE CONTROLLER
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330 MODEM LOCAL CHANNEL
136 ACCESS NETWORK
320

FIG. 11

Electronic Acknowledgement Receipt

EFS ID:	6885018
Application Number:	12694445
International Application Number:	
Confirmation Number:	6030
Title of Invention:	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Michael J. Schallop/Veronica Pula
Filer Authorized By:	Michael J. Schallop
Attorney Docket Number:	RALEP025
Receipt Date:	27-JAN-2010
Filing Date:	
Time Stamp:	12:51:55
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	Application Data Sheet	RALEP025_Application_Data_Sheet_sb0014_fill.pdf	964990 b892691f2fd675755899b53d8838ab0b985dc685	no	5
Warnings:					
Information:					

2		RALEP025_APP.pdf	174625 675f05d52a6353a2d558c4e291181ae544c5d6cc	yes	38

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Transmittal of New Application	1	1
	Specification	2	30
	Claims	31	37
	Abstract	38	38

Warnings:

Information:

3	Drawings-only black and white line drawings	RALEP025_Figures.pdf	152514 40617466ffbee7c3aac6657d1986588d25aa98c7	no	11

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Total Files Size (in bytes):	1292129

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

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

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

PTO/SB/14 (07-07)
Approved for use through 06/30/2010. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

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

Secrecy Order 37 CFR 5.2

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

Applicant Information:

Applicant 1 Remove

Applicant Authority ◉ Inventor ○ Legal Representative under 35 U.S.C. 117 ○ Party of Interest under 35 U.S.C. 118

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

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

City	Woodside	State/Province	CA	Country of Residence [i]	US

Citizenship under 37 CFR 1.41(b) [i] US

Mailing Address of Applicant:

Address 1	2995 Woodside Road
Address 2	Suite 400

City	Woodside	State/Province	CA
Postal Code	94062	Country [i]	

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

Correspondence Information:

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

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

Customer Number	21912		
Email Address		Add Email	Remove Email

Application Information:

Title of the Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES		
Attorney Docket Number	RALEP025	Small Entity Status Claimed	☐
Application Type	Nonprovisional		
Subject Matter	Utility		
Suggested Class (if any)		Sub Class (if any)	
Suggested Technology Center (if any)			
Total Number of Drawing Sheets (if any)	11	Suggested Figure for Publication (if any)	

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

Publication Information:

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

Representative Information:

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

Please Select One:	◉ Customer Number	○ US Patent Practitioner	○ Limited Recognition (37 CFR 11.9)
Customer Number	21912		

Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78(a)(2) or CFR 1.78(a)(4), and need not otherwise be made part of the specification.

Prior Application Status	Pending		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	Continuation in part of	12380780	2009-03-02
Prior Application Status	Pending		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	non provisional of	61206354	2009-01-28
Prior Application Status	Pending		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	non provisional of	61206944	2009-02-04
Prior Application Status	Pending		Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	non provisional of	61207393	2009-02-10
Prior Application Status			Remove
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	non provisional of	61207739	2009-02-13
Prior Application Status			Remove

PTO/SB/14 (07-07)
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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	non provisional of	61252151	2009-10-15

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

Foreign Priority Information:

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

Remove

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

Additional Foreign Priority Data may be generated within this form by selecting the **Add** button. Add

Assignee Information:

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

Assignee 1 Remove

If the Assignee is an Organization check here. ☒

Organization Name	Headwater Partners I LLC		
Mailing Address Information:			
Address 1	2995 Woodside Road		
Address 2	Suite 400		
City	Woodside	**State/Province**	CA
Country [i] US		Postal Code	94062
Phone Number		Fax Number	
Email Address			

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

Signature:

A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 10.18. Please see 37 CFR 1.4(d) for the form of the signature.

Signature	/Michael J. Schallop/			Date (YYYY-MM-DD)	2010-01-27
First Name	Michael	Last Name	Schallop	Registration Number	44319

PTO/SB/14 (07-07)
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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	RALEP025
	Application Number	
Title of Invention	SECURITY TECHNIQUES FOR DEVICE ASSISTED SERVICES	

This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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

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

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

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

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

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

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

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

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

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

PTO/SB/06 (12-04)

Date: **01/27/10**

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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 12/694,445

APPLICATION AS FILED – PART I

FOR	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA	SMALL ENTITY RATE ($)	SMALL ENTITY FEE ($)	OR	OTHER THAN SMALL ENTITY RATE ($)	OTHER THAN SMALL ENTITY FEE ($)
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A	**330**
SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A	N/A			N/A	**540**
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A	**220**
TOTAL CLAIMS (37 CFR 1.16(i))	**25** minus 20 =	**5**	x$26		OR	x$52	**260**
INDEPENDENT CLAIMS (37 CFR 1.16(h))	**3** minus 3 =	*	x$110			x$220	
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is $260 ($130 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR						
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))			195			390	
			TOTAL			TOTAL	**1350**

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

APPLICATION AS AMENDED – PART II

		(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	SMALL ENTITY RATE ($)	SMALL ENTITY ADDITIONAL FEE ($)	OR	OTHER THAN SMALL ENTITY RATE ($)	OTHER THAN SMALL ENTITY ADDITIONAL FEE ($)
AMENDMENT A	Total (37 CFR 1.16(i))	*	Minus	**	=	x =		OR	x =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	x =		OR	x =	
	Application Size Fee (37 CFR 1.16(s))									
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					N/A		OR	N/A	
						TOTAL ADD'T FEE		OR	TOTAL ADD'T FEE	

		(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	RATE ($)	ADDITIONAL FEE ($)	OR	RATE ($)	ADDITIONAL FEE ($)
AMENDMENT B	Total (37 CFR 1.16(i))	*	Minus	**	=	x =		OR	x =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	x =		OR	x =	
	Application Size Fee (37 CFR 1.16(s))									
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					N/A		OR	N/A	
						TOTAL ADD'T FEE		OR	TOTAL ADD'T 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.

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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