

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

SAMSUNG ELECTRONICS CO., LTD.,
Petitioner,

v.

HEADWATER RESEARCH LLC,
Patent Owner.

Case IPR2025-00482
Patent 11,405,429

PETITIONER'S UPDATED EXHIBIT LIST

EXHIBITS

SAMSUNG-1001	U.S. Patent No. 11,405,429 to Gregory G. Raleigh (“the ’429 Patent”)
SAMSUNG-1002	Excerpts from the Prosecution History of the ’429 Patent (“the Prosecution History”)
SAMSUNG-1003	Declaration and Curriculum Vitae of Dr. Patrick McDaniel.
SAMSUNG-1004	Complaint, <i>Headwater Research LLC v. Samsung Electronics Co., Ltd. et al</i> , 2-24-cv-00228, E.D. Tex., filed April 3, 2024
SAMSUNG-1005	U.S. Pat. App. Pub. No. 2009/0077643 (“Schmidt”)
SAMSUNG-1006	U.S. Pat. App. Pub. No. 2005/0101323 (“De Beer”)
SAMSUNG-1007	U.S. Pat. App. Pub. No. 2004/0148237 (“Bittmann”)
SAMSUNG-1008	(Excerpts) Smith, et al., 2005. “Virtual Machines: Versatile Platforms for Systems and Processes,” Elsevier, Inc, 2005, ISBN 1-55860-910-5 (“Smith”)
SAMSUNG-1009	Memorandum, Interim Procedure for Discretionary Denials in AIA Post-Grant Proceedings, June 21, 2022, available at https://www.uspto.gov/sites/default/files/documents/interim_proc_discretionary_denials_aia_parallel_district_court_litigation_memo_20220621_.pdf
SAMSUNG-1010	Samsung Stipulation Letter
SAMSUNG-1011	Docket Control Order, CASE NO. 2:24-CV-00228-JRG-RSP
SAMSUNG-1012	Declaration of June Munford
SAMSUNG-1013-1019	RESERVED

SAMSUNG-1020	U.S. Pat. App. Pub. No. 2009/0149165 (“Minborg”)
SAMSUNG-1021	U.S. Pat. App. Pub. No. 2007/0117538 (“Weiser”)
SAMSUNG-1022	(Excerpts) Telecom Dictionary, Athos Publishing, 2007.
SAMSUNG-1023	(Excerpts) Eberspächer, Jörg (2001). GSM Switching, Services and Protocols, Second Edition. John Wiley & Sons Ltd. ISBN: 978-0-470-85394-8.
SAMSUNG-1024	RESERVED
SAMSUNG-1025	3rd Generation Partnership Project; Technical Specification Group Terminals; “Characteristics of the USIM application” (Release 7), 3GPP TS 31.102 V7.0.0 (“3GPP USIM”).
SAMSUNG-1026	U.S. Pat. No. 5,764,693 (“Taylor”)
SAMSUNG-1027	U.S. Pat. No. 6,470,182 (“Nelson”)
SAMSUNG-1028	U.S. Pat. App. Pub. No. 2006/0015749 (“Mittal”)
SAMSUNG-1029	Kasper, et al., 2008, February. “Subscriber authentication in cellular networks with trusted virtual sims.” In 2008 10th International Conference on Advanced Communication Technology (Vol. 2, pp. 903-908). IEEE. (“Kasper”)
SAMSUNG-1030	TCG Mobile Reference Architecture, version 1.0, Revision 1, June 12, 2007. (“TCG Mobile Reference Architecture”)
SAMSUNG-1031	TCG Mobile Trusted Module Specification, version 1.0, Revision 6, June 26, 2008. (“TCG Mobile Trusted Module Specification”)
SAMSUNG-1032	U.S. Pat. App. Pub. No. 2006/0020781A1 (“Scarlata”)
SAMSUNG-1033	U.S. Pat. No. 6,421,722 (“Bauer”)
SAMSUNG-1034	U.S. Pat. App. Pub. No. 2007/0178888 (“Alfano”)

SAMSUNG-1035	U.S. Pat. App. Pub. No. 2008/0117958 (“Pattenden”)
SAMSUNG-1036	Stone, G.N., Lundy, B. and Xie, G.G., 2001. Network policy languages: a survey and a new approach. IEEE network, 15(1), pp.10-21. (“Stone”)
SAMSUNG-1037	U.S. Pat. No. 6,556,823 (“Clapton”)
SAMSUNG-1038	U.S. Pat. App. Pub. No. 2007/0149252 (“Jobs”)
SAMSUNG-1039	RESERVED
SAMSUNG-1040	David K. Gifford. 1982. Cryptographic sealing for information secrecy and authentication. Commun. ACM 25, 4 (April 1982), 274–286. https://doi.org/10.1145/358468.358493
SAMSUNG-1041	RESERVED
SAMSUNG-1042	Jansen, Wayne A. and Richard P. Ayers. “Forensic Tools for Mobile Phone Subscriber Identity Modules.” J. Digit. Forensics Secur. Law 1 (2006): 75-94.
SAMSUNG-1043-1048	RESERVED
SAMSUNG-1049	National Institute of Standards and Technology. 2001. Security Requirements for Cryptographic Modules, downloaded from the Internet at https://nvlpubs.nist.gov/nistpubs/FIPS/NIST.FIPS.140-2.pdf on December 5, 2024
SAMSUNG-1050	Verma, et. al., (2002). Policy-based management of content distribution networks. IEEE network, 16(2), 34-39. (“Verma”)
SAMSUNG-1051	Lobo, et. al., (1999). A policy description language. AAAI/IAAI, 1999, 291-298. (“Lobo”)
SAMSUNG-1052	Westerinen, et al., IETF RFC 3198, Terminology for Policy-Based Management, November 2001, downloaded from the Internet on May 27, 2024.

SAMSUNG-1053	RESERVED
SAMSUNG-1054	(Excerpts) Keith Mayes and Konstantinos Markantonakis. 2008. Smart Cards, Tokens, Security and Applications (1st. ed.). (“Mayes”)
SAMSUNG-1055	(Excerpts) Gasser, Morrie. Building a Secure Computer System. New York, NY: Van Nostrand Reinhold, 1988. (“Gasser”)
SAMSUNG-1056	(Excerpts) Malhotra, Ravi. 2002. IP Routing: Help for Network Administrators. O’Reilly Media. ISBN: 978-0-596-00275-0 (“Malhotra”)
SAMSUNG-1057	Jude, Michael. "Policy-Based Management: Beyond the Hype." Business Communications Review 31.3 (2001): 52-56. (“Jude”)
SAMSUNG-1058	Merkle, Ralph C. 1978. Secure communications over insecure channels. Commun. ACM 21, 4 (April 1978), 294–299. https://doi.org/10.1145/359460.359473 (“Merkle”)
SAMSUNG-1059	ARM. 2004. PrimeCell Infrastructure AMBA 3 TrustZone Protection Controller (BP147) Revision: r0p0 Technical Overview, downloaded from the Internet at https://documentation-service.arm.com/static/5e9565afc8052b1608762aae%3Ftoken%3D&ved=2ahUKEwiZq56_3pGKAxVUCnkGHcR9OGIQFnoECAwQAQ&usg=AOvVaw2PG8jUG9TU8fpiRxmGKNyM on December 5, 2024
SAMSUNG-1060	Network Associates, Inc. 1999. PGP, Version 6.5.1. An Introduction to Cryptography.
SAMSUNG-1061	Stuart E. Madnick and John J. Donovan. 1973. Application and analysis of the virtual machine approach to information system security and isolation. In Proceedings of the workshop on virtual computer systems. Association for Computing Machinery, New

York, NY, USA, 210–224.
<https://doi.org/10.1145/800122.803961>

- SAMSUNG-1062 U.S. Pat. App. Pub. No. 2008/0122796 (“Jobs-796”)
- SAMSUNG-1063 European Telecommunications Standards Institute. 1998. Terrestrial Trunked Radio (TETRA); Security Aspects; Subscriber Identity Module to Mobile Equipment (SIM – ME) interface. ETSI ETS 300 812 ed.1 (1998-11), downloaded from the Internet at https://www.etsi.org/deliver/etsi_i_ets/300800_300899/300812/01_20_9826/ets_300812e01c.pdf on December 12, 2024
- SAMSUNG-1064 IETF RFC 1122, Requirements for Internet Hosts – Communication Layers, October 1989, downloaded from the internet at <https://datatracker.ietf.org/doc/html/rfc1122> on December 12, 2024.
- SAMSUNG-1065 IETF RFC 793, Transmission Control Protocol, September 1981, downloaded from the internet at <https://www.ietf.org/rfc/rfc793.txt> on December 11, 2024.
- SAMSUNG-1066 U.S. Pat. App. Pub. No. 2005/0108534 (“Bajikar”)
- SAMSUNG-1067 Smith, et al., 2005. “The architecture of virtual machines. Computer,” 38(5) (“Smith-2005”)
- SAMSUNG-1068 ISO/IEC 7498-1, “Information technology - Open Systems Interconnection - Basic Reference Model: The Basic Model,” downloaded from the internet at <https://www.ecma-international.org/wp-content/uploads/s020269e.pdf> on January 10, 2025 (“OSI”)
- SAMSUNG-1069 Gonçalves, et al., 2009, October. A graphical user interface for policy composition in CIM-SPL. In 2009 International Conference on Ultra Modern

Telecommunications & Workshops (pp. 1-7). IEEE.
("Gonçalves")

SAMSUNG-1070 Agrawal, et. al., 2007, May. Issues in designing a policy language for distributed management of IT infrastructures. In 2007 10th IFIP/IEEE International Symposium on Integrated Network Management (pp. 30-39). IEEE. ("Agrawal-2")

SAMSUNG-1071 Updated Stipulation

Respectfully submitted,

Dated: May 13, 2025

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CERTIFICATE OF SERVICE

Pursuant to 37 CFR § 42.6(e), the undersigned certifies that on May 13, 2025, a complete and entire copy of this Petitioner's Updated Exhibit List and Exhibit 1071 were provided by email, to the Patent Owner, by serving the correspondence addresses of record as follows:

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