

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	To be Determined
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	Herewith (October 3, 2011)	To be Determined

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1A	4,430,669	02/07/1984	Cheung	358	122	
	1B	5,027,406	06/25/1991	Roberts <i>et al.</i>	381	43	
	1C	5,155,743	10/13/1992	Jacobs	375	28	
	1D	5,274,560	12/28/1993	LaRue	364	444	
	1E	5,377,350	12/27/1994	Skinner	395	600	
	1F	5,386,556	01/31/1995	Hedin <i>et al.</i>	395	600	
	1G	5,424,947	06/13/1995	Nagao <i>et al.</i>	364	419.08	
	1H	5,471,318	11/28/1995	Ahuja <i>et al.</i>	358	400	
	1I	5,475,733	12/12/1995	Eisdorfer <i>et al.</i>	379	52	
	1J	5,488,652	01/30/1996	Bielby <i>et al.</i>	379	88	
	1K	5,499,289	03/12/1996	Bruno <i>et al.</i>	379	220	
	1L	5,500,920	03/19/1996	Kupiec	395	2.79	
	1M	5,517,560	05/14/1996	Greenspan	379	114	
	1N	5,533,108	07/02/1996	Harris <i>et al.</i>	379	201	
	1O	5,537,436	07/16/1996	Bottoms <i>et al.</i>	375	222	
	1P	5,539,744	07/23/1996	Chu <i>et al.</i>	370	60	
	1Q	5,557,667	09/17/1996	Bruno <i>et al.</i>	379	201	
	1R	5,563,937	10/08/1996	Bruno <i>et al.</i>	379	201	
	1S	5,590,039	12/31/1996	Ikeda <i>et al.</i>	395	759	
	1T	5,617,407	04/01/1997	Bareis	369	275.3	
	1U	5,633,922	05/27/1997	August <i>et al.</i>	379	220	
	1V	5,675,629	10/07/1997	Raffel <i>et al.</i>	379	58	
	1W	5,696,965	12/09/1997	Dedrick	395	610	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
	1X	1 320 043 A2	06/18/2003	Europe				
	1Y	1 646 037	04/12/2006	Europe				
	1Z	WO 99/46763	09/16/1999	International				
	1AA	WO 00/21232	04/13/2000	International				
	1BB	WO 00/46792	08/10/2000	International				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

1CC	REUTERS, "IBM to Enable Honda Drivers to Talk to Cars", Charles Schwab & Co., Inc., July 28, 2002, 1 page.
1DD	LIN, Bor-shen, <i>et al.</i> , "A Distributed Architecture for Cooperative Spoken Dialogue Agents with Coherent Dialogue State and History", ASRU'99, 1999, 4 pages.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

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*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE, IF APPROPRIATE	
	2A	5,708,422	01/13/1998	Blonder <i>et al.</i>	340	825.34		
	2B	5,721,938	02/24/1998	Stuckey	395	754		
	2C	5,722,084	02/24/1998	Chakrin <i>et al.</i>	455	551		
	2D	5,742,763	04/21/1998	Jones	395	200.3		
	2E	5,748,841	05/05/1998	Morin <i>et al.</i>	395	2.66		
	2F	5,752,052	05/12/1998	Richardson <i>et al.</i>	395	759		
	2G	5,754,784	05/19/1998	Garland <i>et al.</i>	395	200.49		
	2H	5,761,631	06/02/1998	Nasukawa	704	9		
	2I	5,774,859	06/30/1998	Houser <i>et al.</i>	704	275		
	2J	5,794,050	08/11/1998	Dahlgren <i>et al.</i>	395	708		
	2K	5,794,196	08/11/1998	Yegnanarayanan <i>et al.</i>	704	255		
	2L	5,797,112	08/18/1998	Komatsu <i>et al.</i>	701	201		
	2M	5,799,276	08/25/1998	Komissarchik <i>et al.</i>	704	251		
	2N	5,802,510	09/01/1998	Jones	707	2		
	2O	5,832,221	11/03/1998	Jones	375	200.36		
	2P	5,839,107	11/17/1998	Gupta <i>et al.</i>	704	270		
	2Q	5,867,817	02/02/1999	Catallo <i>et al.</i>	704	255		
	2R	5,878,385	03/02/1999	Bralich <i>et al.</i>	704	9		
	2S	5,878,386	03/02/1999	Coughlin	704	10		
	2T	5,892,813	04/06/1999	Morin <i>et al.</i>	379	88.01		
	2U	5,895,464	04/20/1999	Bhandari <i>et al.</i>	707	3		
	2V	5,895,466	04/20/1999	Goldberg <i>et al.</i>	707	5		
	2W	5,897,613	04/27/1999	Chan	704	210		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
	2X	WO 01/78065	10/18/2001	International				
	2Y	WO 2004/072954	08/26/2004	International				
	2Z	WO 2007/019318	02/15/2007	International				
	2AA	WO 2007/021587	02/22/2007	International				
	2BB	WO 2007/027546	03/08/2007	International				
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	2CC	KUHN, Thomas, <i>et al.</i> , "Hybrid In-Car Speech Recognition for Mobile Multimedia Applications", Vehicular Technology Conference, IEEE, July 1999, pages 2009-2013.						
	2DD	BELVIN, Robert, <i>et al.</i> , "Development of the HRL Route Navigation Dialogue System", Proceedings of the First International Conference on Human Language Technology Research, San Diego, 2001, pages 1-5.						
EXAMINER DATE CONSIDERED								
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*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	3A	5,902,347	05/11/1999	Backman <i>et al.</i>	701	200		
	3B	5,911,120	06/08/1999	Jarett <i>et al.</i>	455	417		
	3C	5,918,222	06/29/1999	Fukui <i>et al.</i>	707	1		
	3D	5,926,784	07/20/1999	Richardson <i>et al.</i>	704	9		
	3E	5,933,822	08/03/1999	Braden-Harder <i>et al.</i>	707	5		
	3F	5,953,393	09/14/1999	Culbreth <i>et al.</i>	379	88.25		
	3G	5,960,399	09/28/1999	Barclay <i>et al.</i>	704	270		
	3H	5,960,447	09/28/1999	Holt <i>et al.</i>	707	500		
	3I	5,963,894	10/05/1999	Richardson <i>et al.</i>	704	9		
	3J	5,963,940	10/05/1999	Liddy <i>et al.</i>	707	5		
	3K	5,987,404	11/16/1999	Della Pietra <i>et al.</i>	704	9		
	3L	5,991,721	11/23/1999	Asano <i>et al.</i>	704	257		
	3M	5,995,119	11/30/1999	Cosatto <i>et al.</i>	345	473		
	3N	5,995,928	11/30/1999	Nguyen <i>et al.</i>	704	251		
	3O	6,009,382	12/28/1999	Martino <i>et al.</i>	704	1		
	3P	6,014,559	01/11/2000	Amin	455	413		
	3Q	6,018,708	01/25/2000	Dahan <i>et al.</i>	704	244		
	3R	6,021,384	02/01/2000	Gorin <i>et al.</i>	704	1		
	3S	6,044,347	03/28/2000	Abella <i>et al.</i>	704	272		
	3T	6,049,602	04/11/2000	Foladare <i>et al.</i>	379	265		
	3U	6,049,607	04/11/2000	Marash <i>et al.</i>	379	410		
	3V	6,058,187	05/02/2000	Chen	380	21		
	3W	6,078,886	06/20/2000	Dragosh <i>et al.</i>	704	270		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
	3X	WO 2007/027989	03/08/2007	International				
	3Y	WO 2008/098039	08/14/2008	International				
	3Z	WO 2008/118195	10/02/2008	International				
	3AA	WO 2009/075912	06/18/2009	International				
	3BB	WO 2009/145796	12/03/2009	International				
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	3CC	LIND, R., <i>et al.</i> , "The Network Vehicle—A Glimpse into the Future of Mobile Multi-Media", <u>IEEE Aerosp. Electron. Systems Magazine</u> , Volume 14, No. 9, September 1999, pages 27-32.						
	3DD	ZHAO, Yilin, "Telematics: Safe and Fun Driving", <u>IEEE Intelligent Systems</u> , Volume 17, Issue 1, 2002, pages 10-14.						

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	4A	6,081,774	06/27/2000	De Hita <i>et al.</i>	704	9	
	4B	6,085,186	07/04/2000	Christianson <i>et al.</i>	707	3	
	4C	6,101,241	08/08/2000	Boyce <i>et al.</i>	379	88.01	
	4D	6,108,631	08/22/2000	Ruhl	704	270	
	4E	6,119,087	09/12/2000	Kuhn <i>et al.</i>	704	270	
	4F	6,134,235	10/17/2000	Goldman <i>et al.</i>	370	352	
	4G	6,144,667	11/07/2000	Doshi <i>et al.</i>	370	401	
	4H	6,144,938	11/07/2000	Surace <i>et al.</i>	704	257	
	4I	6,154,526	11/28/2000	Dahlke <i>et al.</i>	379	88.03	
	4J	6,160,883	12/12/2000	Jackson <i>et al.</i>	379	230	
	4K	6,167,377	12/26/2000	Gillick <i>et al.</i>	704	240	
	4L	6,173,266	01/09/2001	Marx <i>et al.</i>	704	270	
	4M	6,173,279	01/09/2001	Levin <i>et al.</i>	707	5	
	4N	6,175,858	01/16/2001	Bulfer <i>et al.</i>	709	206	
	4O	6,185,535	02/06/2001	Hedin <i>et al.</i>	704	270	
	4P	6,192,110	02/20/2001	Abella <i>et al.</i>	379	88.01	
	4Q	6,192,338	02/20/2001	Haszto <i>et al.</i>	704	257	
	4R	6,195,634	02/27/2001	Dudemaine <i>et al.</i>	704	231	
	4S	6,195,651	02/27/2001	Handel <i>et al.</i>	707	2	
	4T	6,208,964	03/27/2001	Sabourin	704	244	
	4U	6,208,972	03/27/2001	Grant <i>et al.</i>	704	275	
	4V	6,219,346	04/17/2001	Maxemchuk	370	338	
	4W	6,219,643	04/17/2001	Cohen <i>et al.</i>	704	257	

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	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
	4X	WO 2010/096752	08/26/2010	International				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	4Y	CHAI <i>et al.</i> , "MIND: A Semantics-Based Multimodal Interpretation Framework for Conversational System", Proceedings of the International CLASS Workshop on Natural, Intelligent and Effective Interaction in Multimodal Dialogue Systems, June 2002, pages 37-46.
	4Z	CHEYER <i>et al.</i> , "Multimodal Maps: An Agent-Based Approach", International Conference on Cooperative Multimodal Communication (CMC/95), May 24-26, 1995, pages 111-121.
	4AA	ELIO <i>et al.</i> , "On Abstract Task Models and Conversation Policies" in Workshop on Specifying and Implementing Conversation Policies, Autonomous Agents '99, Seattle, 1999, 10 pages.

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	5A	6,226,612	05/01/2001	Srenger <i>et al.</i>	704	256	
	5B	6,233,556	05/15/2001	Teunen <i>et al.</i>	704	250	
	5C	6,233,559	05/15/2001	Balakrishnan	704	275	
	5D	6,246,981	06/12/2001	Papineni <i>et al.</i>	704	235	
	5E	6,269,336	07/31/2001	Ladd <i>et al.</i>	704	270	
	5F	6,272,455	08/07/2001	Hoshen <i>et al.</i>	704	1	
	5G	6,278,968	08/21/2001	Franz <i>et al.</i>	704	3	
	5H	6,288,319	09/11/2001	Catona	84	609	
	5I	6,292,767	09/18/2001	Jackson <i>et al.</i>	704	1	
	5J	6,308,151	10/23/2001	Smith	704	235	
	5K	6,314,402	11/06/2001	Monaco <i>et al.</i>	704	275	
	5L	6,366,882	04/02/2002	Bijl <i>et al.</i>	704	235	
	5M	6,366,886	04/02/2002	Dragosh <i>et al.</i>	704	270.1	
	5N	6,374,214	04/16/2002	Friedland <i>et al.</i>	704	235	
	5O	6,377,913	04/23/2002	Coffman <i>et al.</i>	704	8	
	5P	6,381,535	04/30/2002	Durocher <i>et al.</i>	701	202	
	5Q	6,385,596	05/07/2002	Wiser <i>et al.</i>	705	51	
	5R	6,385,646	05/07/2002	Brown <i>et al.</i>	709	217	
	5S	6,393,428	05/21/2002	Miller <i>et al.</i>	707	102	
	5T	6,397,181	05/28/2002	Li <i>et al.</i>	704	256	
	5U	6,404,878	06/11/2002	Jackson <i>et al.</i>	379	221.01	
	5V	6,405,170	06/11/2002	Phillips <i>et al.</i>	704	270	
	5W	6,408,272	06/18/2002	White <i>et al.</i>	704	270.1	

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	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

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	5X	TURUNEN, "Adaptive Interaction Methods in Speech User Interfaces", Conference on Human Factors in Computing Systems, Seattle, Washington, 2001, pages 91-92.
	5Y	MAO, Mark Z., "Automatic Training Set Segmentation for Multi-Pass Speech Recognition", Department of Electrical Engineering, Stanford University, CA, copyright 2005, IEEE, pages I-685 to I-688.
	5Z	VANHOUCKE, Vincent, "Confidence Scoring and Rejection Using Multi-Pass Speech Recognition", Nuance Communications, Menlo Park, CA, 2005, 4 pages.

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	6A	6,411,810	06/25/2002	Maxemchuk	455	453		
	6B	6,415,257	07/02/2002	Junqua <i>et al.</i>	704	275		
	6C	6,418,210	07/09/2002	Sayko	379	142.15		
	6D	6,420,975	07/16/2002	DeLine <i>et al.</i>	340	815.4		
	6E	6,429,813	08/06/2002	Feigen	342	357.13		
	6F	6,430,285	08/06/2002	Bauer <i>et al.</i>	379	265.01		
	6G	6,430,531	08/06/2002	Polish	704	257		
	6H	6,434,523	08/13/2002	Monaco	704	257		
	6I	6,434,524	08/13/2002	Weber	704	257		
	6J	6,442,522	08/27/2002	Carberry <i>et al.</i>	704	257		
	6K	6,446,114	09/03/2002	Bulfer <i>et al.</i>	709	206		
	6L	6,453,153	09/17/2002	Bowker <i>et al.</i>	455	67.4		
	6M	6,453,292	09/17/2002	Ramaswamy <i>et al.</i>	704	235		
	6N	6,456,711	09/24/2002	Cheung <i>et al.</i>	379	265.09		
	6O	6,466,654	10/15/2002	Cooper <i>et al.</i>	379	88.01		
	6P	6,466,899	10/15/2002	Yano <i>et al.</i>	704	1		
	6Q	6,470,315	10/22/2002	Netsch <i>et al.</i>	704	256		
	6R	6,498,797	12/24/2002	Anerousis <i>et al.</i>	370	522		
	6S	6,499,013	12/24/2002	Weber	704	257		
	6T	6,501,833	12/31/2002	Phillips <i>et al.</i>	379	88.07		
	6U	6,501,834	12/31/2002	Milewski <i>et al.</i>	379	93.24		
	6V	6,513,006	01/28/2003	Howard <i>et al.</i>	704	257		
	6W	6,522,746	02/18/2003	Marchok <i>et al.</i>	379	406.03		
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							YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	6X	WENG, Fuliang, <i>et al.</i> , "Efficient Lattice Representation and Generation", Speech Technology and Research Laboratory, SRI International, Menlo Park, CA, 1998, 4 pages.						
	6Y	EL MELIANI <i>et al.</i> , "A Syllabic-Filler-Based Continuous Speech Recognizer for Unlimited Vocabulary", Canadian Conference on Electrical and Computer Engineering, Volume 2, September 5-8, 1995, pages 1007-1010.						

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	7A	6,523,061	02/18/2003	Halverson et al.	709	202	
	7B	6,532,444	03/11/2003	Weber	704	257	
	7C	6,539,348	03/25/2003	Bond et al.	704	9	
	7D	6,549,629	04/15/2003	Finn et al.	381	92	
	7E	6,553,372	04/22/2003	Brassell et al.	707	5	
	7F	6,556,970	04/29/2003	Sasaki et al.	704	257	
	7G	6,556,973	04/29/2003	Lewin	704	277	
	7H	6,560,576	05/06/2003	Cohen et al.	704	270	
	7I	6,567,778	05/20/2003	Chao Chang et al.	704	257	
	7J	6,567,797	05/20/2003	Schuetze et al.	707	2	
	7K	6,570,555	05/27/2003	Prevost et al.	345	156	
	7L	6,570,964	05/27/2003	Murveit et al.	379	67.1	
	7M	6,574,597	06/03/2003	Mohri et al.	704	251	
	7N	6,574,624	06/03/2003	Johnson et al.	707	5	
	7O	6,581,103	06/17/2003	Dengler	709	231	
	7P	6,587,858	07/01/2003	Strazza	707	102	
	7Q	6,594,257	07/15/2003	Doshi et al.	370	352	
	7R	6,598,018	07/22/2003	Junqua	704	251	
	7S	6,604,075	08/05/2003	Brown et al.	704	270.1	
	7T	6,604,077	08/05/2003	Dragosh et al.	704	270.1	
	7U	6,606,598	08/12/2003	Holthouse et al.	704	275	
	7V	6,611,692	08/26/2003	Raffel et al.	455	552	
	7W	6,614,773	09/02/2003	Maxemchuk	370	337	

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	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
7X	ARRINGTON, Michael, "Google Redefines GPS Navigation Landscape: Google Maps Navigation for Android 2.0", TechCrunch, printed from the Internet < http://www.techcrunch.com/2009/10/28/google-redefines-car-gps-navigation-google-maps-navigation-android/ >, October 28, 2009, 4 pages.
7Y	BAZZI, Issam <i>et al.</i> , "Heterogeneous Lexical Units for Automatic Speech Recognition: Preliminary Investigations", <u>Processing of the IEEE International Conference on Acoustics, Speech, and Signal Processing</u> , Volume 3, June 5-9, 2000, XP010507574, pages 1257-1260.

EXAMINER	DATE CONSIDERED
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INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	To be Determined
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	Herewith (October 3, 2011)	To be Determined

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*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	8A	6,615,172	09/02/2003	Bennett <i>et al.</i>	704	257	
	8B	6,622,119	09/16/2003	Ramaswamy <i>et al.</i>	704	9	
	8C	6,629,066	09/30/2003	Jackson <i>et al.</i>	704	9	
	8D	6,631,346	10/07/2003	Karaorman <i>et al.</i>	704	9	
	8E	6,643,620	11/04/2003	Contolini <i>et al.</i>	704	270	
	8F	6,650,747	11/18/2003	Bala <i>et al.</i>	379	265.06	
	8G	6,658,388	12/02/2003	Kleindienst <i>et al.</i>	704	275	
	8H	6,678,680	01/13/2004	Woo	707	6	
	8I	6,681,206	01/20/2004	Gorin <i>et al.</i>	704	243	
	8J	6,691,151	02/10/2004	Cheyre <i>et al.</i>	709	202	
	8K	6,701,294	03/02/2004	Ball <i>et al.</i>	704	257	
	8L	6,704,708	03/09/2004	Pickering	704	235	
	8M	6,708,150	03/16/2004	Hirayama <i>et al.</i>	704	243	
	8N	6,721,001	04/13/2004	Berstis	348	231.3	
	8O	6,721,706	04/13/2004	Strubbe <i>et al.</i>	704	275	
	8P	6,735,592	05/11/2004	Neumann <i>et al.</i>	707	101	
	8Q	6,741,931	05/25/2004	Kohut <i>et al.</i>	701	209	
	8R	6,742,021	05/25/2004	Halverson <i>et al.</i>	709	218	
	8S	6,751,591	06/15/2004	Gorin <i>et al.</i>	704	257	
	8T	6,751,612	06/15/2004	Schuetze <i>et al.</i>	707	4	
	8U	6,757,718	06/29/2004	Halverson <i>et al.</i>	709	218	
	8V	6,795,808	09/21/2004	Strubbe <i>et al.</i>	704	275	
	8W	6,801,604	10/05/2004	Maes <i>et al.</i>	379	88.17	

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	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
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8X	O'SHAUGHNESSY, Douglas, "Interacting with Computers by Voice: Automatic Speech Recognition and Synthesis", <i>Proceedings of the IEEE</i> , Volume 91, No. 9, September 1, 2003, XP011100665, pages 1272-1305.
8Y	"Statement in Accordance with the Notice from the European Patent Office dated 1 October 2007 Concerning Business Methods (OJ EPO 11/2007, 592-593), XP002456252.

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*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	9A	6,801,893	10/05/2004	Backfried <i>et al.</i>	704	257	
	9B	6,829,603	12/07/2004	Chai <i>et al.</i>	707	5	
	9C	6,832,230	12/14/2004	Zilliacus <i>et al.</i>	707	203	
	9D	6,833,848	12/21/2004	Wolff <i>et al.</i>	345	719	
	9E	6,856,990	02/15/2005	Barile <i>et al.</i>	707	10	
	9F	6,865,481	03/08/2005	Kawazoe <i>et al.</i>	701	211	
	9G	6,877,134	04/05/2005	Fuller <i>et al.</i>	715	500.1	
	9H	6,901,366	05/31/2005	Kuhn <i>et al.</i>	704	275	
	9I	6,912,498	06/28/2005	Stevens <i>et al.</i>	704	235	
	9J	6,937,977	08/30/2005	Gerson	704	201	
	9K	6,944,594	09/13/2005	Busayapongchai <i>et al.</i>	704	275	
	9L	6,950,821	09/27/2005	Faybishenko <i>et al.</i>	707	10	
	9M	6,954,755	10/11/2005	Reisman	707	10	
	9N	6,973,387	12/06/2005	Masclet <i>et al.</i>	701	211	
	9O	6,975,993	12/13/2005	Keiller	704	275	
	9P	6,980,092	12/27/2005	Turnbull <i>et al.</i>	340	425.5	
	9Q	6,990,513	01/24/2006	Belfiore <i>et al.</i>	709	203	
	9R	6,996,531	02/07/2006	Korall <i>et al.</i>	704	270	
	9S	7,003,463	02/21/2006	Maes <i>et al.</i>	704	270.1	
	9T	7,016,849	03/21/2006	Arnold <i>et al.</i>	704	275	
	9U	7,020,609	03/28/2006	Thrift <i>et al.</i>	704	270.1	
	9V	7,024,364	04/04/2006	Guerra <i>et al.</i>	704	270	
	9W	7,027,975	04/11/2006	Pazandak <i>et al.</i>	704	9	

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*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	10A	7,054,817	05/30/2006	Shao	704	270	
	10B	7,058,890	06/06/2006	George <i>et al.</i>	715	728	
	10C	7,062,488	06/13/2006	Reisman	707	8	
	10D	7,082,469	07/25/2006	Gold <i>et al.</i>	709	231	
	10E	7,092,928	08/15/2006	Elad <i>et al.</i>	706	60	
	10F	7,127,400	10/24/2006	Koch	704	270.1	
	10G	7,136,875	11/14/2006	Anderson <i>et al.</i>	707	104.1	
	10H	7,137,126	11/14/2006	Coffman <i>et al.</i>	719	328	
	10I	7,143,037	11/28/2006	Chestnut	704	251	
	10J	7,146,319	12/05/2006	Hunt	704	254	
	10K	7,197,069	03/27/2007	Agazzi <i>et al.</i>	375	233	
	10L	7,203,644	04/10/2007	Anderson <i>et al.</i>	704	246	
	10M	7,228,276	06/05/2007	Omote <i>et al.</i>	704	243	
	10N	7,231,343	06/12/2007	Treadgold <i>et al.</i>	704	9	
	10O	7,236,923	06/26/2007	Gupta	704	9	
	10P	7,277,854	10/02/2007	Bennett <i>et al.</i>	704	257	
	10Q	7,289,606	10/30/2007	Sibal <i>et al.</i>	379	52	
	10R	7,301,093	11/27/2007	Sater <i>et al.</i>	84	615	
	10S	7,337,116	02/26/2008	Charlesworth <i>et al.</i>	704	254	
	10T	7,340,040	03/04/2008	Saylor <i>et al.</i>	379	67.1	
	10U	7,366,669	04/29/2008	Nishitani <i>et al.</i>	704	256	
	10V	7,376,645	05/20/2008	Bernard	707	3	
	10W	7,386,443	06/10/2008	Parthasarathy <i>et al.</i>	704	201	

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	11A	7,398,209	07/08/2008	Kennewick <i>et al.</i>	704	255	
	11B	7,415,414	08/19/2008	Azara <i>et al.</i>	704	270	
	11C	7,424,431	09/09/2008	Greene <i>et al.</i>	704	270	
	11D	7,461,059	12/02/2008	Richardson <i>et al.</i>	707	5	
	11E	7,472,020	12/30/2008	Brulle-Drews	701	211	
	11F	7,472,060	12/30/2008	Gorin <i>et al.</i>	704	240	
	11G	7,487,088	02/03/2009	Gorin <i>et al.</i>	704	240	
	11H	7,493,259	02/17/2009	Jones <i>et al.</i>	704	257	
	11I	7,493,559	02/17/2009	Wolff <i>et al.</i>	715	727	
	11J	7,502,738	03/10/2009	Kennewick <i>et al.</i>	704	257	
	11K	7,536,297	05/19/2009	Byrd <i>et al.</i>	704	10	
	11L	7,536,374	05/19/2009	Au	706	55	
	11M	7,558,730	07/07/2009	Davis <i>et al.</i>	704	235	
	11N	7,620,549	11/17/2009	Di Cristo <i>et al.</i>	704	257	
	11O	7,634,409	12/15/2009	Kennewick <i>et al.</i>	704	257	
	11P	7,640,160	12/29/2009	Di Cristo <i>et al.</i>	704	257	
	11Q	7,676,365	03/09/2010	Hwang <i>et al.</i>	704	240	
	11R	7,693,720	04/06/2010	Kennewick <i>et al.</i>	704	275	
	11S	7,788,084	08/31/2010	Brun <i>et al.</i>	704	7	
	11T	7,809,570	10/05/2010	Kennewick <i>et al.</i>	704	257	
	11U	7,818,176	10/19/2010	Freeman <i>et al.</i>	704	270	
	11V	7,831,433	11/09/2010	Belvin <i>et al.</i>	704	275	
	11W	7,873,523	01/18/2011	Potter <i>et al.</i>	704	275	

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				Filing Date		Group Art Unit	
Form PTO-1449				Herewith (October 3, 2011)		To be Determined	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	12A	7,917,367	03/29/2011	Di Cristo <i>et al.</i>	704	270.1	
	12B	7,949,529	05/24/2011	Weider <i>et al.</i>	704	270	
	12C	7,983,917	07/19/2011	Kennewick <i>et al.</i>	704	257	
	12D	8,015,006	09/06/2011	Kennewick <i>et al.</i>	704	236	
	12E	2001/0041980	11/15/2001	Howard <i>et al.</i>	704	270	
	12F	2001/0049601	12/06/2001	Kroeker <i>et al.</i>	704	254	
	12G	2002/0035501	03/21/2002	Handel <i>et al.</i>	705	10	
	12H	2002/0049805	04/25/2002	Yamada <i>et al.</i>	709	202	
	12I	2002/0065568	05/30/2002	Silfvast <i>et al.</i>	700	94	
	12J	2002/0069059	06/06/2002	Smith	704	257	
	12K	2002/0082911	06/27/2002	Dunn <i>et al.</i>	705	14	
	12L	2002/0087525	07/04/2002	Abbott <i>et al.</i>	707	3	
	12M	2002/0120609	08/29/2002	Lang <i>et al.</i>	707	1	
	12N	2002/0124050	09/05/2002	Middeljans	709	203	
	12O	2002/0138248	09/26/2002	Corston-Oliver <i>et al.</i>	704	1	
	12P	2002/0143535	10/03/2002	Kist <i>et al.</i>	704	251	
	12Q	2002/0188602	12/12/2002	Stubler <i>et al.</i>	707	3	
	12R	2002/0198714	12/26/2002	Zhou	704	252	
	12S	2003/0014261	01/16/2003	Kageyama	704	275	
	12T	2003/0046346	03/06/2003	Mumick <i>et al.</i>	709	205	
	12U	2003/0064709	04/03/2003	Gailey <i>et al.</i>	455	412	
	12V	2003/0088421	05/08/2003	Maes <i>et al.</i>	704	270.1	
	12W	2003/0097249	05/22/2003	Walker <i>et al.</i>	704	1	

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Form PTO-1449					Herewith (October 3, 2011)		To be Determined	
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	13A	2003/0112267	06/19/2003	Belrose	345	728		
	13B	2003/0120493	06/26/2003	Gupta	704	270.1		
	13C	2003/0135488	07/17/2003	Amir <i>et al.</i>	707	3		
	13D	2003/0144846	07/31/2003	Denenberg <i>et al.</i>	704	277		
	13E	2003/0158731	08/21/2003	Falcon <i>et al.</i>	704	231		
	13F	2003/0182132	09/25/2003	Niemoeller	704	275		
	13G	2003/0212550	11/13/2003	Ubale	704	215		
	13H	2003/0236664	12/25/2003	Sharma	704	251		
	13I	2004/0006475	01/08/2004	Ehlen <i>et al.</i>	704	270.1		
	13J	2004/0025115	02/05/2004	Sienel <i>et al.</i>	715	513		
	13K	2004/0044516	03/04/2004	Kennewick <i>et al.</i>	704	5		
	13L	2004/0166832	08/26/2004	Portman <i>et al.</i>	455	412.1		
	13M	2004/0167771	08/26/2004	Duan <i>et al.</i>	704	10		
	13N	2004/0193408	09/30/2004	Hunt	704	209		
	13O	2004/0193420	09/30/2004	Kennewick <i>et al.</i>	704	257		
	13P	2004/0199375	10/07/2004	Ehsani <i>et al.</i>	704	4		
	13Q	2004/0243417	12/02/2004	Pitts, III <i>et al.</i>	704	276		
	13R	2005/0015256	01/20/2005	Kargman	704	272		
	13S	2005/0021334	01/27/2005	Iwahashi	704	240		
	13T	2005/0021826	01/27/2005	Kumar	709	232		
	13U	2005/0033574	02/10/2005	Kim <i>et al.</i>	704	251		
	13V	2005/0043940	02/24/2005	Elder	704	9		
	13W	2005/0114116	05/26/2005	Fiedler	704	201		
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*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	14A	2005/0137850	06/23/2005	Odell	704	4		
	14B	2005/0246174	11/03/2005	DeGolia	704	270		
	14C	2006/0206310	09/14/2006	Ravikumar <i>et al.</i>	704	9		
	14D	2007/0033005	02/08/2007	Cristo <i>et al.</i>	704	9		
	14E	2007/0033020	02/08/2007	(Kelleher) Francois <i>et al.</i>	704	226		
	14F	2007/0038436	02/15/2007	Cristo <i>et al.</i>	704	9		
	14G	2007/0043574	02/22/2007	Coffman <i>et al.</i>	704	275		
	14H	2007/0050191	03/01/2007	Weider <i>et al.</i>	704	275		
	14I	2007/0055525	03/08/2007	Kennewick <i>et al.</i>	704	257		
	14J	2007/0118357	05/24/2007	Kasravi <i>et al.</i>	704	10		
	14K	2007/0179778	08/02/2007	Gong <i>et al.</i>	704	9		
	14L	2007/0186165	08/09/2007	Maislos <i>et al.</i>	715	728		
	14M	2007/0214182	09/13/2007	Rosenberg	707	104.1		
	14N	2007/0250901	10/25/2007	McIntire <i>et al.</i>	725	146		
	14O	2007/0265850	11/15/2007	Kennewick <i>et al.</i>	704	257		
	14P	2007/0299824	12/27/2007	Pan <i>et al.</i>	707	3		
	14Q	2008/0091406	04/17/2008	Baldwin <i>et al.</i>	704	4		
	14R	2008/0103761	05/01/2008	Printz <i>et al.</i>	704	9		
	14S	2008/0115163	05/15/2008	Gilboa <i>et al.</i>	725	34		
	14T	2008/0133215	06/05/2008	Sarukkai	704	2		
	14U	2008/0140385	06/12/2008	Mahajan <i>et al.</i>	704	9		
	14V	2008/0177530	07/24/2008	Cross <i>et al.</i>	704	4		
	14W	2008/0189110	08/07/2008	Freeman <i>et al.</i>	704	251		
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	15A	2008/0235023	09/25/2008	Kennewick <i>et al.</i>	704	257	
	15B	2008/0235027	09/25/2008	Cross	704	270.1	
	15C	2008/0319751	12/25/2008	Kennewick <i>et al.</i>	704	257	
	15D	2009/0117885	05/07/2009	Roth	455	414.3	
	15E	2009/0144271	06/04/2009	Richardson <i>et al.</i>	707	5	
	15F	2009/0150156	06/11/2009	Kennewick <i>et al.</i>	704	257	
	15G	2009/0171664	07/02/2009	Kennewick <i>et al.</i>	704	257	
	15H	2009/0216540	08/27/2009	Tessel <i>et al.</i>	704	275	
	15I	2009/0271194	10/29/2009	Davis <i>et al.</i>	704	235	
	15J	2009/0299745	12/03/2009	Kennewick <i>et al.</i>	704	257	
	15K	2010/0023320	01/28/2010	Di Cristo <i>et al.</i>	704	9	
	15L	2010/0049501	02/25/2010	Kennewick <i>et al.</i>	704	9	
	15M	2010/0049514	02/25/2010	Kennewick <i>et al.</i>	704	233	
	15N	2010/0057443	03/04/2010	Di Cristo <i>et al.</i>	704	9	
	15O	2010/0063880	03/11/2010	Atsmon <i>et al.</i>	705	14.53	
	15P	2010/0145700	06/10/2010	Kennewick <i>et al.</i>	704	257	
	15Q	2010/0204986	08/12/2010	Kennewick <i>et al.</i>	704	226	
	15R	2010/0204994	08/12/2010	Kennewick <i>et al.</i>	704	257	
	15S	2010/0217604	08/26/2010	Baldwin <i>et al.</i>	704	275	
	15T	2010/0286985	11/11/2010	Kennewick <i>et al.</i>	704	257	
	15U	2010/0299142	11/25/2010	Freeman <i>et al.</i>	704	9	
	15V	2011/0112827	05/12/2011	Kennewick <i>et al.</i>	704	9	
	15W	2011/0112921	05/12/2011	Kennewick <i>et al.</i>	705	26.1	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number		Application Number		
	090611-0399090		<i>To be Determined</i>		
	Applicant(s)				
	Larry BALDWIN <i>et al.</i>				
	Filing Date		Group Art Unit		
		Herewith (October 3, 2011)		<i>To be Determined</i>	

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

Electronic Patent Application Fee Transmittal				
Application Number:				
Filing Date:				
Title of Invention:		SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		
First Named Inventor/Applicant Name:		Larry BALDWIN		
Filer:		Syed Jafar Ali/Diane Bogusz		
Attorney Docket Number:		090611-0399090		
Filed as Small Entity				
Utility under 35 USC 111(a) Filing Fees				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Utility filing Fee (Electronic filing)	4011	1	95	95
Utility Search Fee	2111	1	310	310
Utility Examination Fee	2311	1	125	125
Pages:				
Claims:				
Claims in excess of 20	2202	6	30	180
Independent claims in excess of 3	2201	1	125	125
Miscellaneous-Filing:				

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 (\$)				835

Electronic Acknowledgement Receipt

EFS ID:	11100063
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	909
Filer:	Syed Jafar Ali/Diane Bogusz
Filer Authorized By:	Syed Jafar Ali
Attorney Docket Number:	090611-0399090
Receipt Date:	03-OCT-2011
Filing Date:	
Time Stamp:	15:55:17
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$835
RAM confirmation Number	2224
Deposit Account	033975
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		0399090app.PDF	2750496	yes	43
			ef6bf46440fecbb242ba0986230a4b21f2d26a3e		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Transmittal of New Application		1	1	
	Application Data Sheet		2	3	
	Specification		4	33	
	Claims		34	42	
	Abstract		43	43	
Warnings:					
Information:					
2	Drawings-only black and white line drawings	0399090Drawings.pdf	41209	no	3
			d1c67852ed2825a12ec22628122affa9e317f641		
Warnings:					
Information:					
3	Oath or Declaration filed	0399090Declaration.PDF	152106	no	2
			d3b62165fe7d7cbe014dbe93ab2863ab2bb57061		
Warnings:					
Information:					
4		0399090ids.PDF	1347056	yes	18
			7f34206ad042731a6d23f2909eae6e98f8110dadfb		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Transmittal Letter		1	2	
	Information Disclosure Statement (IDS) Form (SB08)		3	18	
Warnings:					
Information:					

5	Fee Worksheet (SB06)	fee-info.pdf	38236	no	2
			4791232d00bc0fcc1dde39f0aa4aff61bdba1180		
Warnings:					
Information:					
Total Files Size (in bytes):				4329103	
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.					

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

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

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

Attorney Docket No.

090611-0399090

First Inventor

Larry Baldwin

Title

SYSTEM AND METHOD FOR A
COOPERATIVE CONVERSATIONAL
VOICE USER INTERFACE

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☐ **Fee Transmittal Form** (e.g., PTO/SB/17)
2. ☒ **Applicant claims small entity status.**
See 37 CFR 1.27.
3. ☒ **Specification** [Total Pages 40]
Both the claims and abstract must start on a new page
(For information on the preferred arrangement, see MPEP 608.01(a))
4. ☒ **Drawing(s)** (35 U.S.C. 113) [Total Sheets 3]
5. **Oath or Declaration** [Total Sheets 2]
a. ☒ Newly executed (original or copy)
b. ☐ A copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
name in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☒ **Application Data Sheet.** See 37 CFR 1.76
7. ☐ **CD-ROM or CD-R** in duplicate, large table or
Computer Program (Appendix)
☐ Landscape Table on CD
8. **Nucleotide and/or Amino Acid Sequence Submission**
(if applicable, items a. - c. are required)
a. ☐ Computer Readable Form (CRF)
b. **Specification Sequence Listing on:**
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ Paper
c. ☐ Statements verifying identity of above copies

ADDRESS TO:

Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450**ACCOMPANYING APPLICATION PARTS**

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

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

☒ Continuation☐ Divisional☐ Continuation-in-part (CIP)of prior application No.: 11/580,926

Prior application information: Examiner _____

Art Unit: _____

19. CORRESPONDENCE ADDRESS☒ The address associated with Customer Number

00909

OR ☐ Correspondence address below

Name

Address

City

State

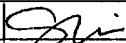
Zip Code

Country

Telephone

Email

Signature



Date

October 3, 2011

Name
(Print/Type)

Syed Jafar Ali

Registration No.
(Attorney/Agent)

58780

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

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: LARRY BALDWIN et al.

Application No.: New

Confirmation No.: Unassigned

Filed: October 3, 2011

Group No.: Unassigned

Examiner: Unassigned

For: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

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

APPLICATION DATA SHEET - 37 C.F.R. § 1.76

BIBLIOGRAPHIC DATA

1. Applicant information

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2. Correspondence information

Correspondence for this application should be addressed as follows:

Customer No.: 00909

3. Application information

Title of Invention: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL
VOICE USER INTERFACE

Docket number assigned to this application: 090611-0399090

Small Entity Status Claimed ☒

Total number of drawing sheets: 3

Type of application: Utility

Application is to be published.

Secrecy order under § 5.2:

This application does not disclose subject matter of an application which is under a secrecy order pursuant to § 5.2.

4. Representative information

The following have a power of attorney or authorization of agent in this application:

Customer No.: 00909

5. Domestic Priority information.

Domestic priority for this application is claimed as follows:

35 U.S.C. § 120

Application No.	Filed	Status	Relationship
11/580,926	October 16, 2006	Pending	Parent

6. Assignee information

The assignee of this application is:

VoiceBox Technologies, Inc.

11980 NE 24th Street

Bellevue, Washington 98005

Extent of interest of assignee in application: 100%

Date: October 3, 2011



Syed Jafar Ali

Registration No. 58780

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P.O. Box 10500

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703.770.7541

Customer No. 00909

SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

CROSS-REFERENCE TO RELATED APPLICATIONS

[001] This application is a continuation of U.S. Patent Application Serial No. 11/580,926, entitled "System and Method for a Cooperative Conversational Voice User Interface," filed October 16, 2006, the contents of which are hereby incorporated by reference in their entirety.

FIELD OF THE INVENTION

[002] The invention relates to a cooperative conversational model for a human to machine voice user interface.

BACKGROUND OF THE INVENTION

[003] Advances in technology, particularly within the convergence space, have resulted in an increase in demand for voice recognition software that can exploit technology in ways that are intuitive to humans. While communication between human beings is most often "cooperative," in that information and/or context is shared to advance mutual conversational goals, existing Human-to-Machine interfaces fail to provide the same level of intuitive interaction. For example, each human participant in a conversation can contribute to an exchange for the benefit of the exchange. This is done through shared assumptions and expectations regarding various aspects of the conversation, such as the topic, participant knowledge about the topic, expectations of the other participant's knowledge about the topic, appropriate word usage for the topic and/or participants, conversational development based on previous utterances, the participants' tone or inflection, the quality and quantity of contribution expected from each participant, and many other factors. Participating in conversations that continually build and draw upon shared information is a natural and intuitive way for humans to converse.

[004] In contrast, complex Human-to-Machine interfaces do not allow users to exploit technology in an intuitive way, which inhibits mass-market adoption for various technologies. Incorporating a speech interface helps to alleviate this burden by making interaction easier and

faster, but existing speech interfaces (when they actually work) still require significant learning on the part of the user. That is, existing speech interfaces are unable to bridge the gap between archaic Human-to-Machine interfaces and conversational speech that would make interaction with systems feel normal. Users should be able to directly request what they want from a system in a normal, conversational fashion, without having to memorize exact words or phrases. Alternatively, when users are uncertain of particular needs, they should be able to engage the system in a productive, cooperative dialogue to resolve their requests. Instead, existing speech interfaces force users to dumb down their requests to match simple sets of instructions in simple languages in order to communicate requests in ways that systems can understand. Using existing speech interfaces, there is virtually no option for dialogue between the user and the system to satisfy mutual goals.

[005] Therefore, existing systems lack a conversational speech model that can provide users with the ability to interact with systems in ways that are inherently intuitive to human beings. Existing systems suffer from these and other problems.

SUMMARY OF THE INVENTION

[006] According to various embodiments and aspects of the invention, a cooperative conversational voice user interface may understand free form human utterances, freeing users from being restricted to a fixed set of commands and/or requests. Rather, users can engage in cooperative conversations with a machine to complete a request or series of requests using a natural, intuitive, free form manner of expression.

[007] According to an aspect of the invention, an exemplary system architecture for implementing a cooperative conversational voice user interface is provided. The system may receive an input, which may include a human utterance received by an input device, where the utterance may include one or more requests. As used herein, an "utterance" may be words, syllables, phonemes, or any other audible sound made by a human being. As used herein, a "request" may be a command, directive, or other instruction for a device, computer, or other machine to retrieve information, perform a task, or take some other action. In one implementation, the input may be a multi-modal input, where at least part of the multi-modal

input is an utterance. The utterance component of the input may be processed by a speech recognition engine (which may alternatively be referred to as an Automatic Speech Recognizer or ASR) to generate one or more preliminary interpretations of the utterance. The one or more preliminary interpretations may then be provided to a conversational speech engine for further processing, where the conversational speech engine may communicate with one or more databases to generate an adaptive conversational response, which may be returned to the user as an output. In one implementation, the output may be a multi-modal output. For example, the utterance may include a request to perform an action, and the output may include a conversational response reporting success or failure, as well as an execution of the action.

[008] According to another aspect of the invention, an exemplary conversational speech engine may generate an adaptive conversational response to a request or series of requests. The conversational speech engine may include a free form voice search module that may understand an utterance made using typical, day-to-day language (i.e., in free form), and may account for variations in how humans normally speak, the vocabulary they use, and the conditions in which they speak. To account for intangible variables of human speech, the free form search module may include models of casual human speech. For example, in one implementation, the free form search module may understand specialized jargon and/or slang, tolerate variations in word order, and tolerate verbalized pauses or stuttered speech. For example, formalized English requests, where a verb precedes a noun, may be treated in an equivalent manner to requests where the noun precedes the verb. In another implementation, compound requests and/or compound tasks with multiple variables may be identified in a single utterance. By identifying all relevant information for completing one or more tasks from a single utterance, advantages may be provided over existing voice user interfaces, such as Command and Control systems that use verbal menus to restrict information that a person can provide at a given point. In another implementation, inferring intended requests from incomplete or ambiguous requests may provide a conversational feel. By modeling what contextual signifiers, qualifiers, or other information may be required to perform a task in an identified context, an adaptive response may be generated, such as prompting a user for missing contextual signifiers, qualifiers, or other information. In one implementation, the

response may ask for missing information in a way that most restricts possible interpretations, and the response may be framed to establish a domain for a subsequent user utterance. In another implementation, common alternatives for nouns and verbs may be recognized to reflect variations in usage patterns according to various criteria. Thus, variations in expression may be supported because word order is unimportant or unanticipated, and nouns and/or verbs may be represented in different ways to give simplistic, yet representative, examples. In another implementation, requests may be inferred from contradictory or otherwise inaccurate information, such as when an utterance includes starts and stops, restarts, stutters, run-on sentences, or other imperfect speech. For example, a user may sometimes change their mind, and thus alter the request in mid-utterance, and the imperfect speech feature may nonetheless be able to infer a request based on models of human speech. For example, various models may indicate that a last criterion is most likely to be correct, or intonation, emphasis, stress, use of the word "not," or other models may indicate which criterion is most likely to be correct.

[009] According to another aspect of the invention, the conversational speech engine may include a noise tolerance module that may discard words or noise which has no meaning in a given context to reduce a likelihood of confusion. Moreover, the noise tolerance module may filter out environmental and non-human noise to further reduce a likelihood of confusion. In one implementation, the noise tolerance module may cooperate with other modules and features to filter out words that do not fit into an identified context. For example, the noise tolerance module may filter other human conversations and/or utterances within a range of one or more microphones. For example, a single device may include multiple microphones, or multiple devices may each include one or more microphones, and the noise tolerance module may collate inputs and cooperatively filter out sound by comparing a speech signal from the various microphones. The noise tolerance module may also filter out non-human environmental noise within range of the microphones, out-of-vocabulary words caused by speaker ambiguity or malapropisms, or other noise that may be unrelated to a target request. Performance benchmarks for the noise tolerance module may be defined by noise models based on human criteria. For example, if a driver of a car is 92% likely to be understood by a passenger when traveling at 65 miles-per-hour with windows cracked, then performance

benchmarks for the noise tolerance module may have a similar performance under such conditions.

[010] According to another aspect of the invention, the conversational speech engine may include a context determination process that determines one or more contexts for a request to establish meaning within a conversation. The one or more contexts may be determined by having one or more context domain agents compete to determine a most appropriate domain for a given utterance. Once a given domain agent "wins" the competition, the winning domain agent may be responsible for establishing or inferring further contexts and updating short-term and long-term shared knowledge. If there is a deadlock between context domain agents, an adaptive conversational response may prompt the user to assist in disambiguating between the deadlocked agents. Moreover, the context determination process may infer intended operations and/or context based on previous utterances and/or requests, whereas existing systems consider each utterance independently, potentially making the same errors over and over again. For example, if a given interpretation turns out to be incorrect, the incorrect interpretation may be removed as a potential interpretation from one or more grammars associated with the speech recognition engine and/or from possible interpretations determined by the conversational speech engine, thereby assuring that a mistake will not be repeated for an identical utterance.

[011] The context determination process may provide advantages over existing voice user interfaces by continually updating one or more models of an existing context and establishing context as a by-product of a conversation, which cannot be established a priori. Rather, the context determination process may track conversation topics and attempt to fit a current utterance into recent contexts, including switching between contexts as tasks are completed, partially completed, requested, etc. The context determination process may identify one or more context domains for an utterance by defining a collection of related functions that may be useful for users in various context domains. Moreover, each context domain may have relevant vocabularies and thought collections to model word groupings, which when evaluated together, may disambiguate one context domain from another. Thus, eliminating out-of-context words and noise words when searching for relevant combinations may enhance

accuracy of inferences. This provides advantages over existing systems that attempt to assign meaning to every component of an utterance (i.e., including out-of-context words and noise words), which results in nearly infinite possible combinations and greater likelihood of confusion. The context determination process may also be self-aware, assigning degrees of certainty to one or more generated hypotheses, where a hypothesis may be developed to account for variations in environmental conditions, speaker ambiguity, accents, or other factors. By identifying a context, capabilities within the context, vocabularies within the context, what tasks are done most often historically in the context, what task was just completed, etc., the context determination process may establish intent from rather meager phonetic clues. Moreover, just as in human-to-human conversation, users may switch contexts at any time without confusion, enabling various context domains to be rapidly selected, without menu-driven dead ends, when an utterance is unambiguous.

[012] According to another aspect of the invention, an exemplary cooperative conversational model may build upon free form voice search, noise tolerance, and context determination to implement a conversational Human-to-Machine interface that reflects human interaction and normal conversational behavior. That is, the cooperative conversational model enables humans and machines to participate in a conversation with an accepted purpose or direction, with each participant contributing to the conversation for the benefit of the conversation. By taking advantage of human presumptions about utterances that humans rely upon, both as speakers and listeners, a Human-to-Machine interface may be analogous to everyday human-to-human conversation. In one implementation, the exemplary cooperative conversation model may take incoming data (shared knowledge) to inform a decision (intelligent hypothesis building), and then may refine the decision and generate a response (adaptive response building).

[013] According to another aspect of the invention, shared knowledge may include both short-term and long-term knowledge. Short-term knowledge may accumulate during a single conversation, where input received during a single conversation may be retained. The shared knowledge may include cross-modality awareness, where in addition to accumulating input relating to user utterances, requests, locations, etc., the shared knowledge may accumulate a

current user interface state relating to other modal inputs to further build shared knowledge models. The shared knowledge may be used to build one or more intelligent hypotheses using current and relevant information, build long-term shared knowledge by identifying information with long-term significance, and generate adaptive responses with relevant state and word usage information. Moreover, because cooperative conversations model human conversations, short-term session data may be expired after a psychologically appropriate amount of time, thereby humanizing system behavior, reducing a likelihood of contextual confusion based on stale data, while also adding relevant information from an expired session context to long-term knowledge models. Long-term shared knowledge may generally be user-centric, rather than session-based, where inputs may be accumulated over time to build user, environmental, cognitive, historical, or other long-term knowledge models. Long-term and short-term shared knowledge may be used simultaneously anytime a user engages in a cooperative conversation. Long-term shared knowledge may include explicit and/or implicit user preferences, a history of recent contexts, requests, tasks, etc., user-specific jargon related to vocabularies and/or capabilities of a context, most often used word choices, or other information. The long-term shared knowledge may be used to build one or more intelligent hypotheses using current and relevant information, generate adaptive responses with appropriate word choices when unavailable via short-term shared knowledge, refine long-term shared knowledge models, identify a frequency of specific tasks, identify tasks a user frequently has difficulty with, or provide other information and/or analysis to generate more accurate conversational responses. Shared knowledge may also be used to adapt a level of unprompted support (e.g., for novices versus experienced users, users who are frequently misrecognized, etc.) Thus, shared knowledge may enable a user and a voice user interface to share assumptions and expectations such as topic knowledge, conversation history, word usage, jargon, tone, or other assumptions and/or expectations that facilitate a cooperative conversation between human users and a system.

[014] According to another aspect of the invention, a conversation type may be identified for any given utterance. Categorizing and developing conceptual models for various types of exchanges may consistently align user expectations and domain capabilities. One or more

intelligent hypotheses may be generated as to a conversation type by considering conversational goals, participant roles, and/or an allocation of information among the participants. Based on the conversational goals, participant roles, and allocation of information, the intelligent hypotheses may consider various factors to classify a conversation (or utterance) into general types of conversations that can interact with one another to form many more variations and permutations of conversation types (e.g., a conversation type may change dynamically as information is reallocated from one participant to another, or as conversational goals change based on the reallocation of information).

[015] According to another aspect of the invention, the intelligent hypotheses may include one or more hypotheses of a user's intent in an utterance. In addition, the intelligent hypotheses may use short-term and/or long-term shared knowledge to proactively build and evaluate interaction with a user as a conversation progresses or over time. The hypotheses may model human-to-human interaction to include a varying degree of certainty for each hypothesis. That is, just as humans rely on knowledge shared by participants to examine how much and what kind of information was available, the intelligent hypotheses may leverage the identified conversation type and shared knowledge to generate a degree of certainty for each hypothesis.

[016] According to another aspect of the invention, syntactically, grammatically, and contextually sensitive "intelligent responses" may be generated from the intelligent hypotheses that can be used to generate a conversational experience for a user, while also guiding the user to reply in a manner favorable for recognition. The intelligent responses may create a conversational feel by adapting to a user's manner of speaking, framing responses appropriately, and having natural variation and/or personality (e.g., by varying tone, pace, timing, inflection, word use, jargon, and other variables in a verbal or audible response).

[017] According to another aspect of the invention, the intelligent responses may adapt to a user's manner of speaking by using contextual signifiers and grammatical rules to generate one or more sentences that may cooperate with the user. By taking advantage of shared knowledge about how a user utters a request, the responses may be modeled using similar techniques used to recognize requests. The intelligent responses may rate possible responses

statistically and/or randomize responses, which creates an opportunity to build an exchange with natural variation and conversational feel. This provides advantages over existing voice user interfaces where input and output is incongruous, as the input is "conversational" and the output is "computerese."

[018] According to another aspect of the invention, the intelligent responses may frame responses to influence a user reply utterance for easy recognition. For example, the responses may be modeled to illicit utterances from the user that may be more likely to result in a completed request. Thus, the responses may conform to a cooperative nature of human dialog and a natural human tendency to "parrot" what was just heard as part of a next utterance. Moreover, knowledge of current context may enhance responses to generate more meaningful conversational responses. Framing the responses may also deal with misrecognitions according to human models. For example, humans frequently remember a number of recent utterances, especially when one or more previous utterances were misrecognized or unrecognized. Another participant in the conversation may limit correction to a part of the utterance that was misrecognized or unrecognized, or over subsequent utterances and/or other interactions, clues may be provided to indicate the initial interpretation was incorrect. Thus, by storing and analyzing multiple utterances, utterances from earlier in a conversation may be corrected as the conversation progresses.

[019] According to another aspect of the invention, the intelligent responses may include multi-modal, or cross-modal, responses to a user. In one implementation, responses may be aware of and control one or more devices and/or interfaces, and users may respond by using whichever input method, or combination of input methods, is most convenient.

[020] According to another aspect of the invention, the intelligent responses may correct a course of a conversation without interrupting conversational flow. That is, even though the intelligent responses may be reasonably "sure," the intelligent responses may nonetheless sometimes be incorrect. While existing voice user interfaces tend to fail on average conversational missteps, normal human interactions may expect missteps and deal with them appropriately. Thus, responses after misrecognitions may be modeled after clarifications,

rather than errors, and words may be chosen in subsequent responses to move conversation forward and establish an appropriate domain to be explored with the user.

[021] Other objects and advantages of the invention will be apparent to those skilled in the art based on the following drawings and detailed description.

BRIEF DESCRIPTION OF THE DRAWINGS

[022] Figure 1 is an exemplary block diagram of a system architecture according to one aspect of the invention.

[023] Figure 2 is an exemplary block diagram of a conversational speech engine according to one aspect of the invention.

[024] Figure 3 is an exemplary block diagram of a cooperative conversational model according to one aspect of the invention.

DETAILED DESCRIPTION

[025] Referring to Figure 1, an exemplary system architecture for implementing a cooperative conversational voice user interface is illustrated according to one aspect of the invention. The system may receive an input 105 from a user, where in one implementation, input 105 may be an utterance received by an input device (e.g., a microphone), where the utterance may include one or more requests. Input 105 may also be a multi-modal input, where at least part of the multi-modal input is an utterance. For example, the input device may include a combination of a microphone and a touch-screen device, and input 105 may include an utterance that includes a request relating to a portion of a display on the touch-screen device that the user is touching. For instance, the touch-screen device may be a navigation device, and input 105 may include an utterance of "Give me directions to here," where the user may be requesting directions to a desired destination on the display of the navigation device.

[026] The utterance component of input 105 may be processed by a speech recognition engine 110 (which may alternatively be referred to herein as Automatic Speech Recognizer 110, or as shown in Fig. 1, ASR 110) to generate one or more preliminary interpretations of the utterance. The speech recognition engine 110 may process the utterance using any suitable technique known in the art. For example, in one implementation, the speech recognition

engine 110 may interpret the utterance using techniques of phonetic dictation to recognize a phoneme stream, as described in U.S. Patent Application Serial No. 11/513,269, entitled "Dynamic Speech Sharpening," filed August 31, 2006, which issued as U.S. Patent No. 7,634,409 on December 15, 2009, and which is hereby incorporated by reference in its entirety. The one or more preliminary interpretations generated by the speech recognition engine 110 may then be provided to a conversational speech engine 115 for further processing. Conversational speech engine 115 may include a conversational language processor 120 and/or a voice search engine 125, described in greater detail in Fig. 2 below. Conversational speech engine 115 may communicate with one or more databases 130 to generate an adaptive conversational response, which may be returned to the user as an output 140. In one implementation, output 140 may be a multi-modal output and/or an interaction with one or more applications 145 to complete the request. For example, output 140 may include a combination of an audible response and a display of a route on a navigation device. For example, the utterance may include a request to perform an action, and output 140 may include a conversational response reporting success or failure, as well as an execution of the action. In addition, in various implementations, the speech recognition engine 110, conversational speech engine 115, and/or databases 130 may reside locally (e.g., on a user device), remotely (e.g., on a server), or a hybrid model of local and remote processing may be used (e.g., lightweight applications may be processed locally while computationally intensive applications may be processed remotely).

[027] Referring to Figure 2, an exemplary block diagram is provided illustrating a conversational speech engine 215 according to one aspect of the invention. Conversational speech engine 215 may include a conversational language processor 220 that generates an adaptive conversational response to a request or series of requests using a free form voice search module 245, a noise tolerance module 250, and/or a context determination process 255. According to one aspect of the invention, modules 245-255 may communicate with a voice search engine 225 that includes one or more context domain agents 230 and/or one or more vocabularies 235 to aid in interpreting utterances and generating responses, as described in "Enhancing the VUE™ (Voce-User-Experience) Through Conversational Speech," by Tom Freeman and Larry Baldwin, which is herein incorporated by reference in its entirety.

Conversational speech engine 215 may generate an adaptive conversational response to one or more requests, where the requests may depend on unspoken assumptions, incomplete information, context established by previous utterances, user profiles, historical profiles, environmental profiles, or other information. Moreover, conversational speech engine 215 may track which requests have been completed, which requests are being processed, and/or which requests cannot be processed due to incomplete or inaccurate information, and the response may be generated accordingly.

[028] According to one aspect of the invention, free form voice search module 245 may understand an utterance made using typical, day-to-day language (i.e., in free form), and may account for variations in how humans normally speak, the vocabulary they use, and the conditions in which they speak. Because variables such as stress, distraction, and serendipity are always different and infinitely varied, free form search module 245 may be designed with a goal of understanding that no human will come to the same Human-to-Machine interface situation in the same way twice. Thus, free form search module 245 may implement one or more features that model casual human speech. In various implementations, free form search module 245 may include, among other things, a free form utterance feature, a one-step access feature, an inferencing intended operations feature, an alternative expression feature, and/or an imperfect speech feature.

[029] The free form utterance feature may understand specialized jargon and/or slang, tolerate variations in word order (e.g., whether a subject of a request comes before or after a verb may be irrelevant), and tolerate verbalized pauses (e.g., "um," "ah," "eh," and other utterances without meaning). For example, the free form utterance feature may treat formalized English verb-before-noun requests in an equivalent manner to free form requests where a noun may precede a verb. For example, user utterances of "Change it to the Squizz" and "You know, um, that Squizz channel, ah, switch it there" may be treated equivalently (where Squizz is a channel on XM Satellite Radio). In either case, the free form utterance feature is able to identify "Squizz" as a subject of the utterance and "Change it" or "switch it" as a verb or request for the utterance (e.g., by cooperating with context determination process

255, or other features, and identifying a relevant context domain agent 230 and/or vocabulary 235 to interpret the utterance).

[030] The one-step access feature may understand utterances that include compound requests with multiple variables. For example, a user utterance may be "What is the forecast for Boston this weekend?" The one-step access feature may identify "weather" as a context (e.g., by cooperating with context determination process 255, or other features, and identifying "forecast" as a synonym of "weather"), and search for a city equal to "Boston" and a time equal to "weekend." By identifying all relevant information for completing a task from a single utterance, the one-step access feature may overcome drawbacks of existing voice user interfaces, such as Command and Control systems that use verbal menus to restrict information that a person can provide at a given point (e.g., a Command and Control system for a phone directory service may say: "State please," . . . "City please," . . . "What listing," etc.). Moreover, some utterances may include compound requests, and the one-step access feature may decompose the compound requests into sub-tasks. For example, a user utterance of "I need to be at a meeting tomorrow in San Francisco at 8:00 am" may be decomposed into a set of sub-tasks such as (1) checking availability and reserving a flight on an evening before the meeting, (2) checking availability and reserving a hotel, (3) checking availability and reserving a car, etc., where users may further designate preferences for various tasks (e.g., first check availability on an airline for which the user is a frequent flyer). Depending on a level of shared knowledge about a user's preferences and/or historical patterns, the one-step access feature may infer additional tasks from a request. For example, in the above example, the one-step access feature may also check a weather forecast, and if the weather is "nice" (as defined by the user preferences and/or as inferred from historical patterns), the one-step access feature may schedule a tee-time at a preferred golf course in San Francisco.

[031] The inferencing intended operations feature may identify an intended request from incomplete or ambiguous requests. For example, when a user utters "Route <indecipherable> Chicago <indecipherable> here," where the user intended to say "Route calculation to Chicago from here," the inferencing intended operations feature may model what is required to calculate a route (an origination point and a destination point). Because the utterance includes

the origination point and the destination point, a request to calculate a route from the user's present location to Chicago may be inferred. Similarly, when the inferencing intended operations feature does not have sufficient information to infer a complete request, an adaptive conversational response may be generated to prompt the user for missing information. For example, when an utterance includes a request for a stock quote but not a company name (e.g., "Get me the stock price for <indecipherable>"), the response may be "What company's stock quote do you want?" The user may then provide an utterance including the company name, and the request may be completed. In one implementation, the response may ask for missing information in a way that most restricts possible interpretations (e.g., in a request for a task that requires both a city and a state, the state may be asked for first because there are fewer states than cities). Moreover, the inferencing intended operations feature may model compound tasks and/or requests by maintaining context and identifying relevant and/or missing information at both a composite and sub-task level.

[032] The alternative expression feature may recognize common alternatives for nouns and verbs to reflect variations in usage patterns according to various criteria. For example, users may vary expression based on age, socio-economics, ethnicity, user whims, or other factors. Thus, the alternative expression feature may support variations in expression where word order is unimportant or unanticipated. Alternatives in expression based on various criteria or demographics may be loaded into context domain agents 230 and/or vocabularies 235, and the alternative expression feature may update context domain agents 230 and/or vocabularies 235 based on inferred or newly discovered variations. In one implementation, conversational speech engine 215 may include a subscription interface to update changes to context domain agents 230 and/or vocabularies 235 (e.g., a repository may aggregate various user utterances and deploy updates system wide). In operation, the alternative expression feature may allow nouns and/or verbs to be represented in different ways to give simplistic, yet representative, examples. For example, a user interested in a weather forecast for Washington, D.C. may provide any of the following utterances, each of which are interpreted equivalently: "What's the weather like in DC," "Is it raining inside the Beltway," "Gimme the forecast for the capital," etc. Similarly, utterances of "Go to my home," "Go home," "Show route to home," and "I

would like to know my way home" may all be interpreted equivalently, where a user profile may include the user's home address and a navigation route to the home address may be calculated.

[033] The imperfect speech feature may be able to infer requests from contradictory or otherwise inaccurate information, such as when an utterance includes starts and stops, restarts, stutters, run-on sentences, or other imperfect speech. For example, a user may sometimes change their mind, and thus alter the request in mid-utterance, and the imperfect speech feature may nonetheless be able to infer a request based on models of human speech. For example, for an utterance of "Well, I wanna . . . Mexi . . . no, steak restaurant please, I'm hungry," existing voice user interfaces make no assumptions regarding models of human speech and would be unable to infer whether the user wanted a Mexican or steak restaurant. The imperfect speech feature overcomes these drawbacks by using various models of human understanding that may indicate that a last criterion is most likely to be correct, or intonation, emphasis, stress, use of the word "not," or other models may indicate which criterion is most likely to be correct. Thus, in the above example, the imperfect speech feature may infer that the user wants a steak restaurant.

[034] According to one aspect of the invention, noise tolerance module 250 may be closely related to the imperfect speech feature, and may operate to discard words or noise that has no meaning in a given context so as not to create confusion. Moreover, noise tolerance module 250 may filter out environmental and non-human noise to further reduce a likelihood of confusion. In one implementation, noise tolerance module 250 may cooperate with other modules and features to filter out words that do not fit into a context. For example, one or more contexts may be identified, and words that have no meaning with respect to system capabilities, random human utterances without meaning and other noise may be filtered out. Thus, noise tolerance module 250 may model real-world conditions to identify meaningful requests. For example, noise tolerance module 250 may filter other human conversations and/or utterances within a range of one or more microphones. For example, a single device may include multiple microphones, or multiple devices may each include one or more microphones, and the noise tolerance module may collate inputs and cooperatively filter out

sound by comparing a speech signal from the various microphones. Noise tolerance module 250 may also filter out non-human environmental noise within the range of the microphones, out-of-vocabulary words, which could be a result of speaker ambiguity or malapropisms, or other noise that may be unrelated to a target request. Noise models in noise tolerance module 250 may define performance benchmarks based on human criteria. For example, if a driver of a car, traveling at 65 miles-per-hour, with windows cracked is 92% likely to be understood by a passenger, then noise tolerance module 250 may have a similar performance under those conditions.

[035] According to one aspect of the invention, conversational speech engine 215 may include a context determination process 255 that determines one or more contexts for a request to establish meaning within a conversation. The one or more contexts may be determined by having one or more context domain agents compete to determine a most appropriate domain for a given utterance, as described in U.S. Patent Application Serial No. 11/197,504, entitled "Systems and Methods for Responding to Natural Language Speech Utterance," filed August 5, 2005, which issued as U.S. Patent No. 7,640,160 on December 29, 2009 and U.S. Patent Application Serial No. 11/212,693, entitled "Mobile Systems and Methods of Supporting Natural Language Human-Machine Interactions," filed August 29, 2005, which issued as U.S. Patent No. 7,949,529 on May 24, 2011, both of which are hereby incorporated by reference in their entirety. Once a given context domain agent "wins" the competition, the winning agent may be responsible for establishing or inferring further contexts and updating short-term and long-term shared knowledge. If there is a deadlock between context domain agents, an adaptive conversational response may prompt the user to assist in disambiguating between the deadlocked agents. For example, a user utterance of "What about traffic?" may have a distinct meaning in various contexts. That is, "traffic" may have a first meaning when the user is querying a system's media player (i.e., "traffic" would be a Rock and Roll band led by singer/songwriter Steve Winwood), a second meaning when the user is querying a search interface regarding Michael Douglas films (i.e., "traffic" would be a film directed by Steven Soderbergh), a third meaning when the user is querying a navigation device for directions to an airport (i.e., "traffic" would be related to conditions on roads along a route to the airport).

[036] Moreover, context determination process 255 may infer intended operations and/or context based on previous utterances and/or requests, whereas existing systems consider each utterance independently, potentially making the same errors over and over again. For example, if a given interpretation turns out to be incorrect, the incorrect interpretation may be removed as a potential interpretation from one or more grammars associated with the speech recognition engine and/or from possible subsequent interpretations determined by context determination process 255, thereby assuring that a mistake will not be repeated for an identical utterance.

[037] Context determination process 255 may overcome drawbacks of existing systems by continually updating one or more models of an existing context, where establishing context may be a by-product of a conversation, which cannot be established a priori. Context determination process 255 may establish a first context domain, change to a second context domain, change back to the first context domain, and so on, as tasks are completed, partially completed, requested, etc, and a context stack may track conversation topics and attempt to fit a current utterance into a most-recent context, next-most-recent topic, etc., traversing the context stack until a most likely intent can be established. For example, a user may utter "What's the traffic report," and context determination process 255 may establish Traffic as a context, and return an output including a traffic report, which does not happen to mention traffic on Interstate-5. The user may then utter "What about I-5?" and context determination process 255 may know that the current context is Traffic, a traffic report including information about Interstate-5 may be searched for, and the traffic report indicating that Interstate-5 is crowded may be returned as an output. The user may then utter "Is there a faster way?" and context determination module 255 may know that the current context is still Traffic, and may search for routes to a specified destination with light traffic and avoiding Interstate-5. Moreover, context determination process 255 may build context based on user profiles, environmental profiles, historical profiles, or other information to further refine the context. For example, the profiles may indicate that Interstate-5 is a typical route taken Monday through Friday.

[038] The profiles may be particularly meaningful when attempting to disambiguate between contexts where a word has different meanings in different contexts. For example, a user may utter "What's the weather in Seattle?" and context determination process 255 may establish Weather as a context, as well as establishing Seattle as an environmental context. The user may then utter "and Portland?" and context determination process 255 may return a weather report for Portland, Oregon based on the Weather and an environmental proximity between Portland, Oregon and Seattle, Washington. The user may then ask "What time does the game start?" and a search for sports events with teams from Seattle and/or Portland may occur, with results presented conversationally according to methods described in greater detail below in Figure 3. Correlatively, had user originally uttered "What's the weather in Portsmouth, New Hampshire," in the second utterance, context determination process 255 may instead retrieve a weather report for Portland, Maine based on an environmental proximity to New Hampshire. Moreover, when environmental profiles, contextual shared knowledge, and/or other short-term and/or long-term shared knowledge does not provide enough information to disambiguate between possibilities, responses may prompt the user with a request for further information (e.g., "Did you mean Portland, Maine, or Portland, Oregon?").

[039] Context determination process 255 may cooperate with context domain agents 230, where each context domain agent 230 may define a collection of related functions that may be useful for users. Moreover, each context domain agent 230 may include a relevant vocabulary 235 and thought collections that model word groupings, which when evaluated together, may disambiguate one context domain from another (e.g., a Music context domain agent 230 may include a vocabulary 235 for songs, artists, albums, etc., whereas a Stock context domain agent 230 may include a vocabulary 235 for company names, ticker symbols, financial metrics, etc.). Thus, accuracy in identifying meaning may be enhanced by eliminating out-of-context words and noise words when searching for relevant combinations. In contrast, existing systems attempt to assign meaning to every component of an utterance (e.g., including out-of-context words and noise words), which results in nearly infinite possible combinations and greater likelihood of confusion. Moreover, context domain agents 230 may include metadata for each criteria to further assist in interpreting utterances, inferring intent, completing incomplete

requests, etc. (e.g., a Space Needle vocabulary word may include metadata for Seattle, landmark, tourism, Sky City restaurant, etc.). Given a disambiguated criterion, context determination process 255 may thus be able to automatically determine other information needed to complete a request, discard importance of word order, and perform other enhancements for conversational speech.

[040] Context domain agents 230 may also be self-aware, assigning degrees of certainty to one or more generated hypotheses, where a hypothesis may be developed to account for variations in environmental conditions, speaker ambiguity, accents, or other factors. Conceptually, context domain agents 230 may be designed to model utterances as a hard-of-hearing person would at a noisy party. By identifying a context, capabilities within the context, vocabularies within the context, what tasks are done most often historically in the context, what task was just completed, etc., a context domain agent 230 may establish intent from rather meager phonetic clues. Moreover, the context stack may be one of a plurality of components for establishing context, and thus not a constraint upon the user. All context domains may be accessible, allowing the user to switch contexts at any time without confusion. Thus, just as in human-to-human conversation, context domains may be rapidly selected, without menu-driven dead ends, when an utterance is unambiguous. For example, a user may utter, "Please call Rich Kennewick on his cell phone," and a system response of "Do you wish me to call Rich Kennewick on his cell?" may be generated. The user may decide at that point to call Rich Kennewick later, and instead, listen to some music. Thus, the user may then utter, "No, play the Louis Armstrong version of Body and Soul from my iPod," and a system response of "Playing Body and Soul by Louis Armstrong" may be generated as Body and Soul is played through a media player. In this example, the later utterance has no contextual connection to the first utterance, yet because request criteria in the utterances are unambiguous, contexts can be switched easily without relying on the context stack.

[041] Referring to Figure 3, an exemplary cooperative conversational model 300 is illustrated according to an aspect of the invention. Cooperative conversational model 300 may build upon free form voice search 245, noise tolerance 250, and context determination 255 to implement a conversational Human-to-Machine interface that reflects how humans interact with each other

and their normal behavior in conversation. Simply put, cooperative conversational model 300 enables humans and machines to participate in a conversation with an accepted purpose or direction, with each participant contributing to the conversation for the benefit of the conversation. That is, cooperative conversational model 300 incorporates technology and process-flow that takes advantage of human presumptions about utterances that humans rely upon, both as speakers and listeners, thereby creating a Human-to-Machine interface that is analogous to everyday human-to-human conversation. In one implementation, a cooperative conversation may take incoming data (shared knowledge) 305 to inform a decision (intelligent hypothesis building) 310, and then may refine the decision and generate a response (adaptive response building) 315.

[042] According to one aspect of the invention, shared knowledge 305 includes both short-term and long-term knowledge about incoming data. Short-term knowledge may accumulate during a single conversation, while long-term knowledge may accumulate over time to build user profiles, environmental profiles, historical profiles, cognitive profiles, etc.

[043] Input received during a single conversation may be retained in a Session Input Accumulator. The Session Input Accumulator may include cross-modality awareness, where in addition to accumulating input relating to user utterances, requests, locations, etc., the Session Input Accumulator may accumulate a current user interface state relating to other modal inputs to further build shared knowledge models and more accurate adaptive responses (e.g., when a user utters a request relating to a portion of a touch-screen device, as described above). For example, the Session Input Accumulator may accumulate inputs including recognition text for each utterance, a recorded speech file for each utterance, a list-item selection history, a graphical user interface manipulation history, or other input data. Thus, the Session Input Accumulator may populate Intelligent Hypothesis Builder 310 with current and relevant information, build long-term shared knowledge by identifying information with long-term significance, provide Adaptive Response Builder 315 with relevant state and word usage information, retain recent contexts for use with Intelligent Hypothesis Builder 310, and/or retain utterances for reprocessing during multi-pass evaluations. Moreover, because cooperative conversations 300 model human conversations, short-term session data may be

expired after a psychologically appropriate amount of time, thereby humanizing system behavior. For example, a human is unlikely to recall a context of a conversation from two years ago, but because the context would be identifiable by a machine, session context is expired after a predetermined amount of time to reduce a likelihood of contextual confusion based on stale data. However, relevant information from an expired session context may nonetheless be added to user, historical, environmental, cognitive, or other long-term knowledge models.

[044] Long-term shared knowledge may generally be user-centric, rather than session-based. That is, inputs may be accumulated over time to build user, environmental, cognitive, historical, or other long-term knowledge models. Long-term and short-term shared knowledge (collectively, shared knowledge 305) may be used simultaneously anytime a user engages in a cooperative conversation 300. Long-term shared knowledge may include explicit and/or implicit user preferences, a history of most recently used agents, contexts, requests, tasks, etc., user-specific jargon related to vocabularies and/or capabilities of an agent and/or context, most often used word choices, or other information. The long-term shared knowledge may be used to populate Intelligent Hypothesis Builder 310 with current and relevant information, provide Adaptive Response Builder 315 with appropriate word choices when the appropriate word choices are unavailable via the Session Input Accumulator, refine long-term shared knowledge models, identify a frequency of specific tasks, identify tasks a user frequently has difficulty with, or provide other information and/or analysis to generate more accurate conversational responses.

[045] As described above, shared knowledge 305 may be used to populate Intelligent Hypothesis Builder 310, such that a user and a voice user interface may share assumptions and expectations such as topic knowledge, conversation history, word usage, jargon, tone (e.g., formal, humorous, terse, etc.), or other assumptions and/or expectations that facilitate interaction at a Human-to-Machine interface.

[046] According to an aspect of the invention, one component of a successful cooperative conversation may be identifying a type of conversation from an utterance. By categorizing and developing conceptual models for various types of exchanges, user expectations and domain capabilities may be consistently aligned. Intelligent Hypothesis Builder 310 may generate a

hypothesis as to a conversation type by considering conversational goals, participant roles, and/or an allocation of information among the participants. Conversational goals may broadly include: (1) getting a discrete piece of information or performing a discrete task, (2) gathering related pieces of information to make a decision, and/or (3) disseminating or gathering large amounts of information to build expertise. Participant roles may broadly include: (1) a leader that controls a conversation, (2) a supporter that follows the leader and provides input as requested, and/or (3) a consumer that uses information. Information may be held by one or more of the participants at the outset of a conversation, where a participant may hold most (or all) of the information, little (or none) of the information, or the information may be allocated roughly equally amongst the participants. Based on the conversational goals, participant roles, and allocation of information, Intelligent Hypothesis Builder 310 may consider various factors to classify a conversation (or utterance) into general types of conversations that can interact with one another to form many more variations and permutations of conversation types (e.g., a conversation type may change dynamically as information is reallocated from one participant to another, or as conversational goals change based on the reallocation of information).

[047] For example, in one implementation, a query conversation may include a conversational goal of getting a discrete piece of information or performing a particular task, where a leader of the query conversation may have a specific goal in mind and may lead the conversation toward achieving the goal. The other participant may hold the information and may support the leader by providing the information. In a didactic conversation, a leader of the conversation may control information desired by a supporter of the conversation. The supporter's role may be limited to regulating an overall progression of the conversation and interjecting queries for clarification. In an exploratory conversation, both participants share leader and supporter roles, and the conversation may have no specific goal, or the goal may be improvised as the conversation progresses. Based on this model, Intelligent Hypothesis Builder 310 may broadly categorize a conversation (or utterance) according to the following diagram:

QUERY		
	<i>Participant A</i>	<i>Participant B</i>
	<u>User</u>	<u>Voice User Interface</u>
GOAL	Get information/action	Provide information/action
ROLE	Leader/Consumer	Supporter/Dispenser
INFORMATION ALLOCATION	Less	More

DIDACTIC		
	<i>Participant A</i>	<i>Participant B</i>
	<u>User</u>	<u>Voice User Interface</u>
GOAL	Get information	Provide information
ROLE	Follower/Consumer	Leader/Dispenser
INFORMATION ALLOCATION	Less	More

EXPLORATORY		
	<i>Participant A</i>	<i>Participant B</i>
	<u>User</u>	<u>Voice User Interface</u>
GOAL	Gather/share information	Gather/share information
ROLE	Follower/Consumer <u>and</u> Leader/Dispenser	Follower/Consumer <u>and</u> Leader/Dispenser
INFORMATION ALLOCATION	Equal or alternating	Equal or alternating

[048] Intelligent Hypothesis Builder 310 may use an identified conversation type to assist in generating a set of hypotheses as to a user's intent in an utterance. In addition, Intelligent Hypothesis Builder 310 may use short-term shared knowledge from the Session Input Accumulator to proactively build and evaluate interaction with a user as a conversation progresses, as well as long-term shared knowledge to proactively build and evaluate interaction with the user over time. Intelligent Hypothesis Builder 310 may thus adaptively arrive at a set of N-best hypotheses about user intent, and the N-best hypotheses may be provided to an Adaptive Response Builder 315. In addition, Intelligent Hypothesis Builder 310 may model human-to-human interaction by calculating a degree of certainty for each of the hypotheses. That is, just as humans rely on knowledge shared by participants to examine how much and what kind of information was available, Intelligent Hypothesis Builder 310 may leverage the identified conversation type and short-term and long-term shared knowledge to generate a degree of certainty for each hypothesis.

[049] According to another aspect of the invention, Intelligent Hypothesis Builder 310 may generate one or more explicit hypotheses of a user's intent when an utterance contains all information (including qualifiers) needed to complete a request or task. Each hypothesis may have a corresponding degree of certainty, which may be used to determine a level of unprompted support to provide in a response. For example, a response may include a confirmation to ensure the utterance was not misunderstood or the response may adaptively prompt a user to provide missing information.

[050] According to another aspect of the invention, Intelligent Hypothesis Builder 310 may use short-term knowledge to generate one or more implicit hypotheses of a user's intent when an utterance may be missing required qualifiers or other information needed to complete a request or task. Each hypothesis may have a corresponding degree of certainty. For instance, when a conversation begins, short-term knowledge stored in the Session Input Accumulator may be empty, and as the conversation progresses, the Session Input Accumulator may build a history of the conversation. Intelligent Hypothesis Builder 310 may use data in the Session Input Accumulator to supplement or infer additional information about a current utterance. For example, Intelligent Hypothesis Builder 310 may evaluate a degree of certainty based on a

number of previous requests relevant to the current utterance. In another example, when the current utterance contains insufficient information to complete a request or task, data in the Session Input Accumulator may be used to infer missing information so that a hypothesis can be generated. In still another example, Intelligent Hypothesis Builder 310 may identify syntax and/or grammar to be used by Adaptive Response Builder 315 to formulate personalized and conversational response. In yet another example, when the current utterance contains a threshold amount of information needed to complete a request or task, data in the Session Input Accumulator may be relied upon to tune a degree of certainty.

[051] According to another aspect of the invention, Intelligent Hypothesis Builder 310 may use long-term shared knowledge to generate one or more implicit hypotheses of a user's intent when an utterance is missing qualifiers or other information needed to complete a request or task. Each hypothesis may have a corresponding degree of certainty. Using long-term knowledge may be substantially similar to using short-term shared knowledge, except that information may be unconstrained by a current session, and an input mechanism may include information from additional sources other than conversational sessions. For example, Intelligent Hypothesis Builder 310 may use information from long-term shared knowledge at any time, even when a new conversation is initiated, whereas short-term shared knowledge may be limited to an existing conversation (where no short-term shared knowledge would be available when a new conversation is initiated). Long-term shared knowledge may come from several sources, including user preferences or a plug-in data source (e.g., a subscription interface to a remote database), expertise of a user (e.g., based on a frequency of errors, types of tasks requested, etc., the user may be identified as a novice, intermediate, experienced, or other type of user), agent-specific information and/or language that may also apply to other agents (e.g., by decoupling information from an agent to incorporate the information into other agents), frequently used topics passed in from the Session Input Accumulator, frequently used verbs, nouns, or other parts of speech, and/or other syntax information passed in from the Session Input Accumulator, or other sources of long-term shared knowledge may be used.

[052] According to another aspect of the invention, knowledge-enabled utterances, as generated by Intelligent Hypothesis Builder 310, may include one or more explicit (supplied by

a user), and one or more implicit (supplied by Intelligent Hypothesis Builder 310) contextual signifiers, qualifiers, criteria, and other information that can be used to identify and evaluate relevant tasks. At that point, Intelligent Hypothesis Builder 310 may provide an input to Adaptive Response Builder 315. The input received by Adaptive Response Builder 315 may include at least a ranked list of hypotheses, including explicit and/or implicit hypotheses, each of which may have a corresponding degree of certainty. A hypothesis may be assigned one of four degrees of certainty: (1) "sure," where contextual signifiers and qualifiers relate to one task, context and qualifiers relate to one task, and a confidence level associated with a preliminary interpretation generated at the speech recognition engine exceeds a predetermined threshold; (2) "pretty sure," where contextual signifiers and qualifiers relate to more than one task (select top-ranked task) and criteria relates to one request, and/or the confidence level associated with the preliminary interpretation generated at the speech recognition engine is below the predetermined threshold; (3) "not sure," where additional contextual signifiers or qualifiers are needed to indicate or rank a task; and (4) "no hypothesis," where little or no information can be deciphered. Each degree of certainty may further be classified as explicit or implicit, which may be used to adjust a response. The input received by Adaptive Response Builder 310 may also include a context, user syntax and/or grammar, context domain agent specific information and/or preferences (e.g., a travel context domain agent may know a user frequently requests information about France, which may be shared with a movie context domain agent so that responses may occasionally include French movies).

[053] According to another aspect of the invention, Adaptive Response Builder 315 may build syntactically, grammatically, and contextually sensitive "intelligent responses" that can be used with one or more agents to generate a conversational experience for a user, while also guiding the user to reply in a manner favorable for recognition. In one implementation, the intelligent responses may include a verbal or audible reply played through an output device (e.g., a speaker), and/or an action performed by a device, computer, or machine (e.g., downloading a web page, showing a list, executing an application, etc.). In one implementation, an appropriate response may not require conversational adaptation, and default replies and/or randomly selected response sets for a given task may be used.

[054] According to another aspect of the invention, Adaptive Response Builder 310 may draw on information maintained by Intelligence Hypothesis Builder 310 to generate responses that may be sensitive to context, task recognition of a current utterance, what a user already knows about a topic, what an application already knows about the topic, shared knowledge regarding user preferences and/or related topics, appropriate contextual word usage (e.g., jargon), words uttered by the user in recent utterances, conversational development and/or course correction, conversational tone, type of conversation, natural variation in wording of responses, or other information. As a result, Adaptive Response Builder 315 may generate intelligent responses that create conversational feel, adapt to information that accumulates over a duration of a conversation, maintain cross-modal awareness, and keep the conversation on course.

[055] According to another aspect of the invention, Adaptive Response Builder 315 may create a conversational feel by adapting to a user's manner of speaking, framing responses appropriately, and having natural variation and/or personality (e.g., by varying tone, pace, timing, inflection, word use, jargon, and other variables in a verbal or audible response). Adapting to a user's manner of speaking may include using contextual signifiers and grammatical rules to generate one or more sentences for use as response sets that may cooperate with the user. By taking advantage of short-term (from the Session Input Accumulator) and long-term (from one or more profiles) shared knowledge about how a user utters a request, the responses may be modeled using techniques used to recognize requests. Adaptive Response Builder 315 may rate possible responses statistically and/or randomize responses, which creates an opportunity to build an exchange with natural variation and conversational feel. This may be a significant advantage over existing voice user interfaces with incongruous input and output, where the input is "conversational" and the output is "computerese." The following examples may demonstrate how a response may adapt to a user's input word choices and manner of speaking:

<u>User</u>	Do you know <i>[mumbled words]</i> Seattle <i>[more mumbled words]</i> ?
<u>Voice User Interface</u>	Did you want Seattle sports scores, weather, traffic, or news?

<u>User</u>	Find me <i>[mumbled words]</i> Seattle <i>[more mumbled words]</i> ?
<u>Voice User Interface</u>	I <i>found</i> Seattle, did you want sports scores, weather, traffic, or news?

<u>User</u>	Get me <i>[mumbled words]</i> Seattle <i>[more mumbled words]</i> ?
<u>Voice User Interface</u>	I've <i>got</i> Seattle, did you want me to <i>get</i> sports scores, weather, traffic, or news?

[056] According to another aspect of the invention, Adaptive Response Builder 315 may frame responses to influence a user to reply with an utterance that may be easily recognized. For example, a user may utter, "Get me the news" and a voice user interface response may be "Which of these categories? Top news stories, international news, political news, or sports news?" The response may be likely to illicit utterances from the user, such as "Top news stories" or "International news," which are more likely to result in a completed request. Thus, the responses may conform to a cooperative nature of human dialog, and a natural human tendency to "parrot" what was just heard as part of a next utterance. Moreover, knowledge of current context may enhance responses to generate more meaningful conversational responses, such as in the following exchange:

<u>User</u>	What's the weather like in Dallas?
<u>Voice User Interface</u>	In Dallas, it's sunny and 90 degrees.
<u>User</u>	What theaters are showing the movie "The Fantastic Four" there?
<u>Voice User Interface</u>	10 theaters in Dallas are showing "The Fantastic Four." Do you want show times for a particular theater?

[057] Framing the responses may also deal with misrecognitions according to human models. For example, humans frequently remember a number of recent utterances, especially when one or more previous utterances were misrecognized or unrecognized. Another participant in the conversation may limit correction to a part of the utterance that was misrecognized or unrecognized, or over subsequent utterances and/or other interactions, clues may be provided to indicate the initial interpretation was incorrect. Thus, by storing and analyzing multiple utterances, utterances from earlier in a conversation may be corrected as the conversation progresses.

[058] According to another aspect of the invention, Adaptive Response Builder 315 may generate multi-modal, or cross-modal, responses to a user. In one implementation, responses may be aware of and control one or more devices and/or interfaces, and users may respond by using whichever input method, or combination of input methods, is most convenient. For example, a response asking the user to direct an utterance with a "Yes" or "No" in a multi-modal environment may also display alternatives visually.

[059] According to another aspect of the invention, Adaptive Response Builder 315 may correct a course of a conversation without interrupting conversational flow. Adaptive Response Builder 315 may generate intelligent responses based on the ranked list of hypotheses and corresponding degrees of certainty, which may be used to correct a course of a conversation without interrupting conversational flow. That is, even though the intelligent responses may be reasonably "sure," the intelligent responses may nonetheless sometimes be incorrect. While existing voice user interfaces tend to fail on average conversational missteps, normal human interactions may expect missteps and deal with them appropriately. Thus, responses after a misrecognition may be modeled after clarifications, rather than errors, and words may be chosen in subsequent responses that move conversation forward and establish an appropriate domain to be explored with the user. For example, course correction may result in the following exchange:

<u>User</u>	Can you get <i>[mumbled words here]</i> Mariners <i>[more mumbled words]</i> ?
<u>Voice User Interface</u>	<i>I've got</i> the score for the Mariners game? 4-2 Mariners.
<u>User</u>	No, the start time for tomorrow's game.
<u>Voice User Interface</u>	Oh, 7:05.

[060] The above disclosure has been described in terms of specific exemplary aspects, implementations, and embodiments of the invention. However, those skilled in the art will recognize various changes and modifications that may be made without departing from the scope and spirit of the invention. Therefore, the specification and drawings are to be regarded as exemplary only, and the scope of the invention is to be determined solely by the appended claims.

CLAIMS

What is claimed is:

1. A method for providing a cooperative conversational voice user interface, comprising:
receiving an utterance at a voice input device during a current conversation;
populating a short-term context stack with information about the utterance received during the current conversation to accumulate short-term shared knowledge about the current conversation in the short-term context stack;
determining a context associated with the utterance at a conversational speech engine, wherein the conversational speech engine determines the context associated with the utterance from the short-term shared knowledge accumulated in the short-term context stack;
establishing an intended meaning that the utterance has within the determined context, wherein the conversational speech engine establishes the intended meaning within the determined context to establish an intent that a user had in speaking one or more words recognized in the utterance; and
expiring the information about the utterance from the short-term context stack after a psychologically appropriate amount of time.
2. The method recited in claim 1, further comprising:
updating one or more long-term profiles to include information about the utterance received during the current conversation to accumulate long-term shared knowledge about one or more past conversations; and
updating the one or more long-term profiles to include data in the information expired from the short term context stack having long-term significance to accumulate the long-term shared knowledge about the one or more past conversations.
3. The method recited in claim 2, wherein the conversational speech engine further determines the context associated with the utterance from the accumulated long-term shared knowledge about the one or more past conversations.

4. The method recited in claim 2, further comprising managing a competition among multiple domain agents that compete to determine a most appropriate domain associated with the utterance, wherein managing the competition among the multiple domain agents includes:

assigning responsibility to establish or infer further contexts and update the short-term shared knowledge and the long-term shared knowledge to a winning domain agent among the multiple domain agents associated with the managed competition; or

generating an adaptive response that requests information to disambiguate the winning domain agent in response to a deadlock between the multiple domain agents associated with the managed competition, wherein one or more subsequent multi-modal inputs provide the information to disambiguate the winning domain agent.

5. The method recited in claim 2, wherein the conversational speech engine uses the short-term shared knowledge accumulated in the short-term context stack and the accumulated long-term shared knowledge about the one or more past conversations to establish the intended meaning that the utterance has within the determined context.

6. The method recited in claim 2, further comprising:

identifying a compound request contained in the utterance based on the established intent that the user had in speaking the one or more words recognized in the utterance;

decomposing the compound request into multiple sub-tasks and inferring one or more additional tasks from the compound request based on the short-term shared knowledge accumulated in the short-term context stack and the accumulated long-term shared knowledge about the one or more past conversations; and

executing the multiple sub-tasks decomposed from the compound request and the one or more additional tasks inferred from the compound request to process the utterance.

7. The method recited in claim 1, wherein establishing the intended meaning that the utterance has within the determined context includes:

generating an N-best set that includes multiple possible hypotheses about the intent that the user had in speaking one or more words recognized in the utterance, wherein the intended meaning comprises one of the multiple possible hypothesis in the N-best set having a highest confidence level;

removing the intended meaning from the multiple possible hypotheses in the N-best set in response to determining that the possible hypothesis having the highest confidence level was not the intended meaning; and

selecting one of the multiple possible hypothesis remaining in the N-best set having a next highest confidence level to be the intended meaning.

8. A system for providing a cooperative conversational voice user interface, comprising:

a voice input device configured to receive an utterance during a current conversation;

a conversational speech engine coupled to the voice input device, wherein the conversational speech engine includes one or more processors configured to:

populate a short-term context stack with information about the utterance received during the current conversation to accumulate short-term shared knowledge about the current conversation in the short-term context stack;

determine a context associated with the utterance from the short-term shared knowledge accumulated in the short-term context stack;

establish an intended meaning that the utterance has within the determined context to establish an intent that a user had in speaking one or more words recognized in the utterance; and

expire the information about the utterance from the short-term context stack after a psychologically appropriate amount of time.

9. The system recited in claim 8, wherein the one or more processors associated with the conversational speech engine are further configured to:

update one or more long-term profiles to include information about the utterance received during the current conversation to accumulate long-term shared knowledge about one or more past conversations; and

update the one or more long-term profiles to include data in the information expired from the short term context stack having long-term significance to accumulate the long-term shared knowledge about the one or more past conversations.

10. The system recited in claim 9, wherein the one or more processors associated with the conversational speech engine are further configured to determine the context associated with the utterance from the accumulated long-term shared knowledge about the one or more past conversations.

11. The system recited in claim 9, wherein the one or more processors associated with the conversational speech engine are further configured to:

assign responsibility to establish or infer further contexts and update the short-term shared knowledge and the long-term shared knowledge to a winning domain agent among multiple domain agents that compete to determine a most appropriate domain associated with the utterance; or

generate an adaptive response to request information to disambiguate the winning domain agent in response to a deadlock between the multiple domain agents that compete to determine the most appropriate domain, wherein one or more subsequent multi-modal inputs provide the information to disambiguate the winning domain agent.

12. The system recited in claim 9, wherein the one or more processors associated with the conversational speech engine are further configured to use the short-term shared knowledge accumulated in the short-term context stack and the accumulated long-term shared knowledge about the one or more past conversations to establish the intended meaning that the utterance has within the determined context.

13. The system recited in claim 8, wherein the one or more processors associated with the conversational speech engine are further configured to:

identify a compound request contained in the utterance based on the established intent that the user had in speaking the one or more words recognized in the utterance;

decompose the compound request into multiple sub-tasks and inferring one or more additional tasks from the compound request based on the short-term shared knowledge accumulated in the short-term context stack and the accumulated long-term shared knowledge about the one or more past conversations; and

execute the multiple sub-tasks decomposed from the compound request and the one or more additional tasks inferred from the compound request to process the utterance.

14. The system recited in claim 8, wherein to establish the intended meaning that the utterance has within the determined context, the one or more processors associated with the conversational speech engine are further configured to:

generate an N-best set that includes multiple possible hypotheses about the intent that the user had in speaking one or more words recognized in the utterance, wherein the intended meaning comprises one of the multiple possible hypothesis in the N-best set having a highest confidence level;

remove the intended meaning from the multiple possible hypotheses in the N-best set in response to determining that the possible hypothesis having the highest confidence level was not the intended meaning; and

select one of the multiple possible hypothesis remaining in the N-best set having a next highest confidence level to be the intended meaning.

15. A method for providing a cooperative conversational voice user interface, comprising:
 - receiving an utterance at a voice input device during a current conversation;
 - classifying, at a conversational speech engine, the current conversation or the utterance received during the current conversation into a conversation type;
 - establishing an intended meaning associated with the utterance based on the conversation type associated with the current conversation or the utterance; and
 - generating a grammatically or syntactically adapted response to the utterance based on the intended meaning associated with the utterance and the conversation type.
16. The method recited in claim 15, further comprising:
 - determining a goal associated with the current conversation or the utterance received during the current conversation;
 - determining roles associated with the conversational speech engine and a user that spoke the utterance based on the goal associated with the current conversation or the utterance received during the current conversation; and
 - determining an information allocation among the conversational speech engine and the user that spoke the utterance based on the determined goal and the determined roles, wherein the conversation type associated with the current conversation or the utterance comprises a query conversation, a didactic conversation, or an exploratory conversation depending on the determined goal, the determined roles, and the determined information allocation.
17. The method recited in claim 16, wherein an adaptive response builder grammatically or syntactically adapts the response to influence a subsequent utterance expected during the current conversation and move the current conversation forward based on the goal associated with the current conversation or the utterance received during the current conversation.

18. The method recited in claim 15, wherein the conversation type comprises a query conversation if the current conversation or the utterance has a goal to gather discrete information or perform a discrete task, a didactic conversation if the current conversation or the utterance has a goal to gather related information, or an exploratory conversation if the current conversation or the utterance has no specific goal.

19. The method recited in claim 15, wherein the conversation type comprises a query conversation if a user that spoke the utterance has a leader role to control the current conversation, a didactic conversation if the user that spoke the utterance has a supporter role to provide information that the conversational speech engine requests during the current conversation, or an exploratory conversation if the user that spoke the utterance has both the leader role and the supporter role.

20. The method recited in claim 15, wherein the conversation type comprises a query conversation or a didactic conversation if a user that spoke the utterance has a lower information allocation than the conversational speech engine or a didactic conversation if the user and the conversational speech engine have an equal or alternating information allocation.

21. A system for providing a cooperative conversational voice user interface, comprising:
a voice input device configured to receive an utterance during a current conversation;
a conversational speech engine coupled to the voice input device, wherein the conversational speech engine includes one or more processors configured to:
 classify the current conversation or the utterance received during the current conversation into a conversation type; and
 establish an intended meaning associated with the utterance based on the conversation type associated with the current conversation or the utterance; and
an adaptive response builder configured to generate a grammatically or syntactically adapted response to the utterance based on the intended meaning associated with the utterance and the conversation type.

22. The system recited in claim 21, wherein to classify the current conversation or the utterance received during the current conversation into a conversation type, the one or more processors associated with the conversational speech engine are further configured to:

determine a goal associated with the current conversation or the utterance received during the current conversation;

determine roles associated with the conversational speech engine and a user that spoke the utterance based on the goal associated with the current conversation or the utterance received during the current conversation; and

determine an information allocation among the conversational speech engine and the user that spoke the utterance based on the determined goal and the determined roles, wherein the conversation type associated with the current conversation or the utterance comprises a query conversation, a didactic conversation, or an exploratory conversation depending on the determined goal, the determined roles, and the determined information allocation.

23. The system recited in claim 22, wherein the adaptive response builder is configured to grammatically or syntactically adapt the response to:

influence a subsequent utterance expected during the current conversation; and

move the current conversation forward based on the goal associated with the current conversation or the utterance received during the current conversation.

24. The system recited in claim 21, wherein the conversation type comprises a query conversation if the current conversation or the utterance has a goal to gather discrete information or perform a discrete task, a didactic conversation if the current conversation or the utterance has a goal to gather related information, or an exploratory conversation if the current conversation or the utterance has no specific goal.

25. The system recited in claim 21, wherein the conversation type comprises a query conversation if a user that spoke the utterance has a leader role to control the current conversation, a didactic conversation if the user that spoke the utterance has a supporter role to provide information that the conversational speech engine requests during the current conversation, or an exploratory conversation if the user that spoke the utterance has both the leader role and the supporter role.

26. The system recited in claim 21, wherein the conversation type comprises a query conversation or a didactic conversation if a user that spoke the utterance has a lower information allocation than the conversational speech engine or a didactic conversation if the user and the conversational speech engine have an equal or alternating information allocation.

ABSTRACT

A cooperative conversational voice user interface is provided. The cooperative conversational voice user interface may build upon short-term and long-term shared knowledge to generate one or more explicit and/or implicit hypotheses about an intent of a user utterance. The hypotheses may be ranked based on varying degrees of certainty, and an adaptive response may be generated for the user. Responses may be worded based on the degrees of certainty and to frame an appropriate domain for a subsequent utterance. In one implementation, misrecognitions may be tolerated, and conversational course may be corrected based on subsequent utterances and/or responses.

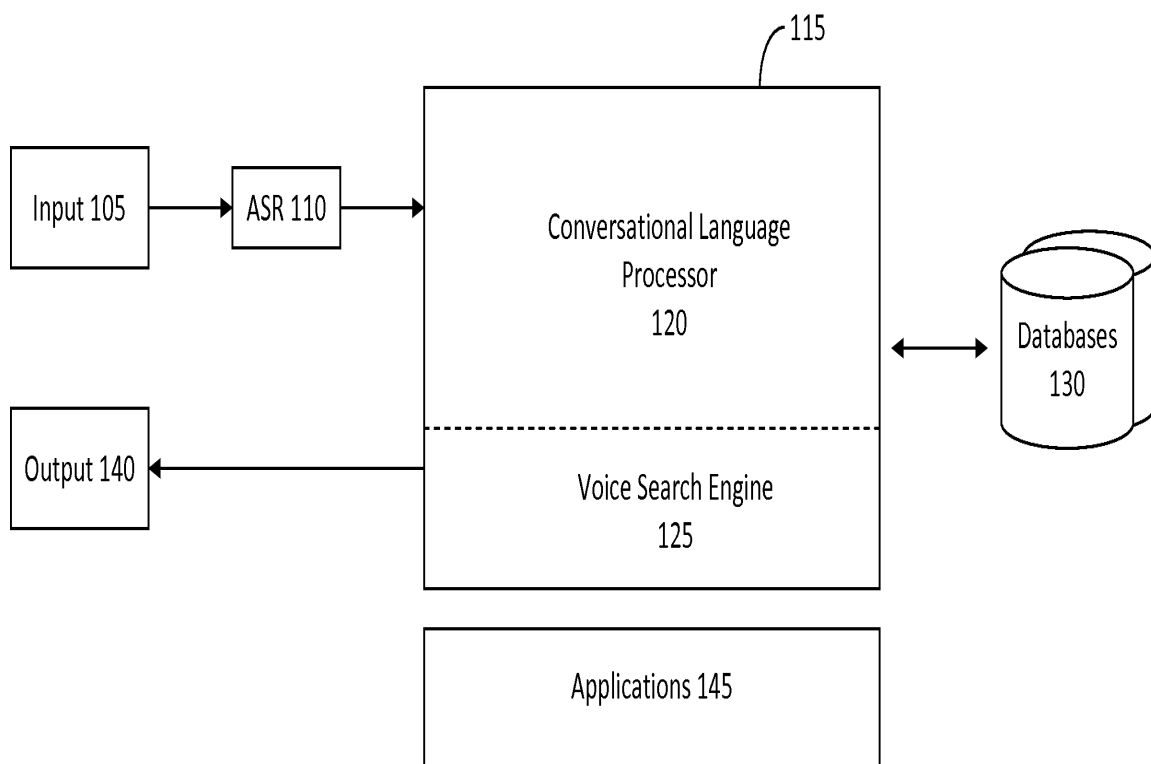


Figure 1

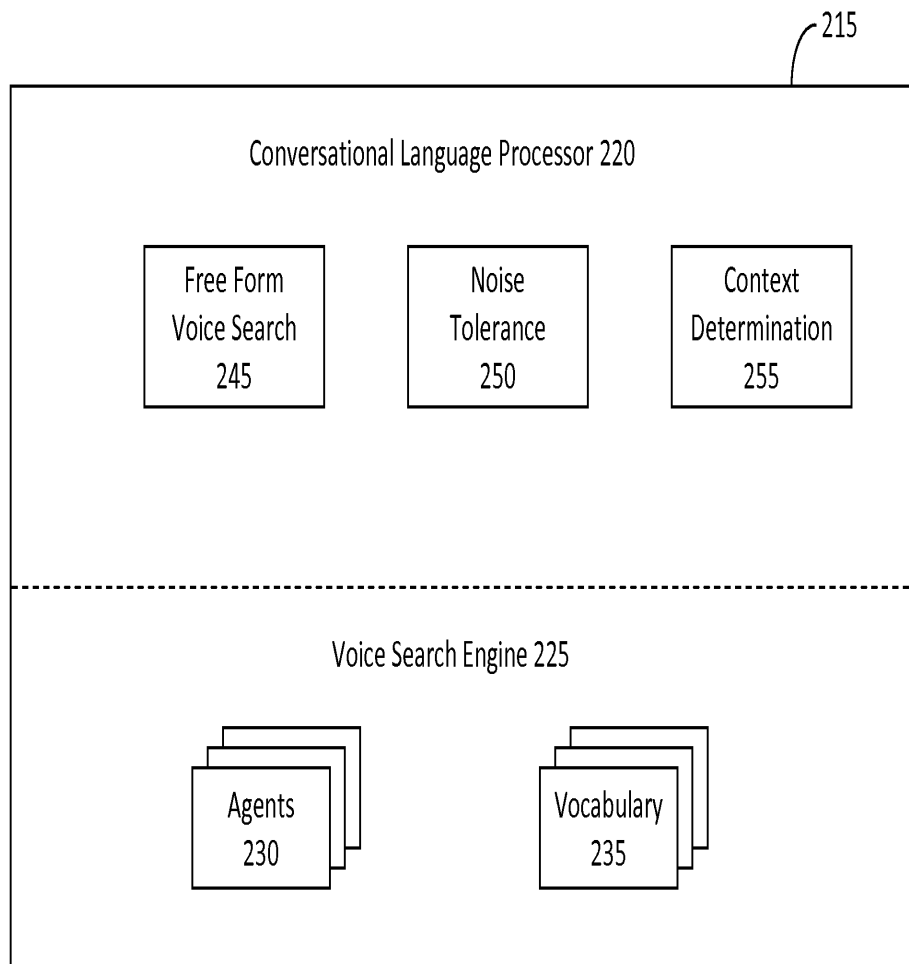


Figure 2

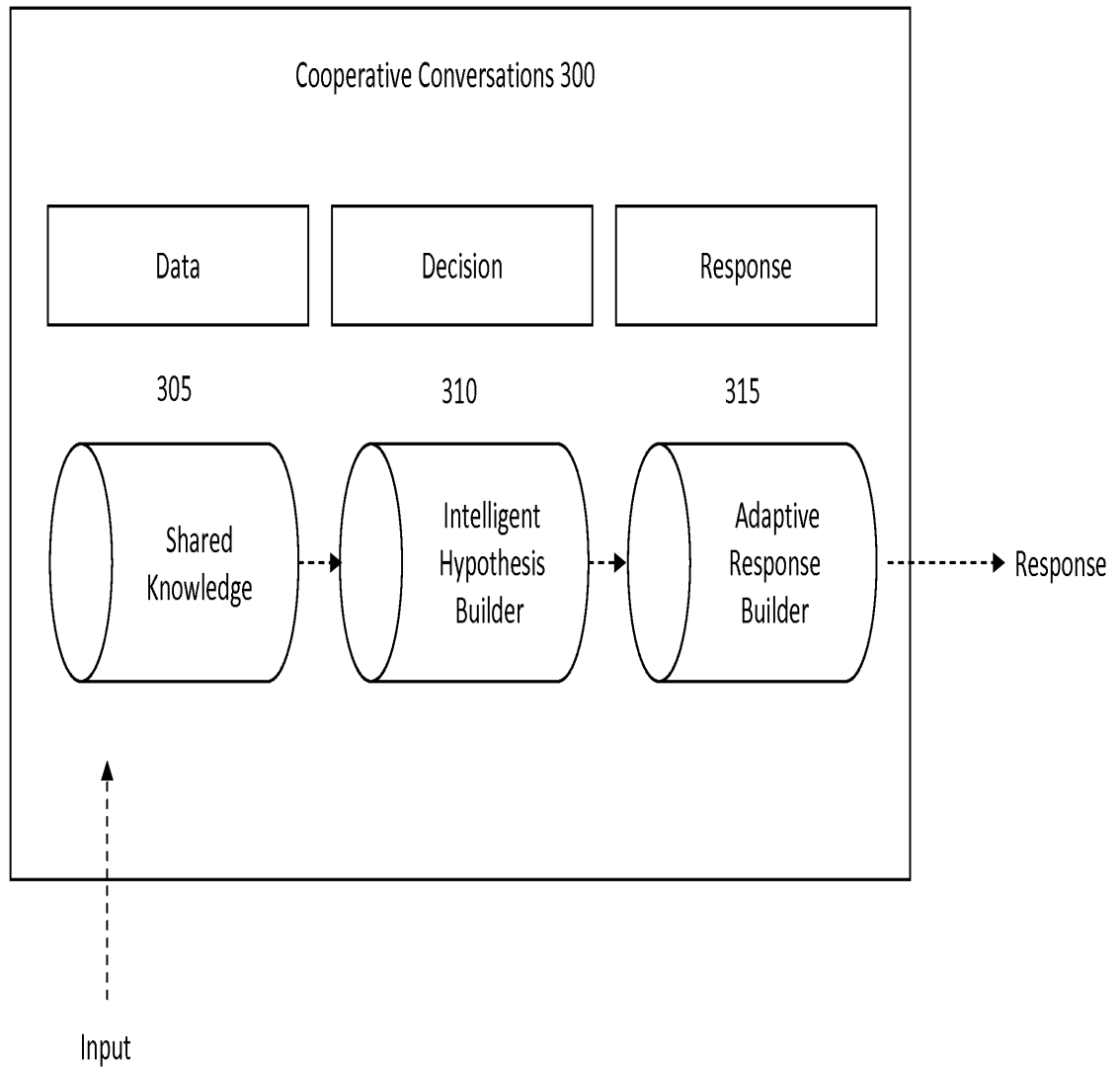


Figure 3

**FOR UTILITY
ORIGINAL
DECLARATION**

**RULE 63 (37 C.F.R. 1.63)
DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am an original, first and joint-inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE**, the specification of which was filed on October 16, 2006 as U.S. Application No. 11/580,926.

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. I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56. Except as noted below, I hereby claim foreign priority benefits under 35 U.S.C. 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 other country than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT International Application, filed by me or my assignee disclosing the subject matter claimed in this application and having a filing date (1) before that of the application on which priority is claimed, or (2) if no priority claimed, before the filing date of this application:

PRIOR FOREIGN APPLICATION(S)

<u>Number</u>	<u>Country</u>	<u>Filed</u>	<u>Date First Laid Open Or Published</u>	<u>Date Patented or Granted</u>	<u>Priority Claimed</u>

Except as noted below, I hereby claim domestic priority benefit under 35 U.S.C. 119(e) or 120 and/or 365(c) of the indicated United States applications listed below and PCT International applications listed above or below and, if this is a continuation-in-part (CIP) application, insofar as the subject matter disclosed and claimed in this application is in addition to that disclosed in such prior applications, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which became available between the filing date of each such prior application and the national or PCT International filing date of this application:

PRIOR U.S. PROVISIONAL, NONPROVISIONAL AND/OR PCT APPLICATION(S)

<u>Application Number</u>	<u>Filed</u>	<u>Status</u> <u>pending, abandoned, patented</u>	<u>Priority Claimed</u>

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 issued thereon.

And I hereby appoint Pillsbury Winthrop Shaw Pittman LLP, Intellectual Property Group, (to whom all communications are to be directed), and persons of that firm who are associated with USPTO Customer No. 00909 individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent, and I hereby authorize them to delete from that Customer No. names of persons no longer with their firm, to add new persons of their Firm to that Customer No., and to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct the above Firm and/or an attorney of that Firm in writing to the contrary.

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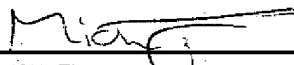
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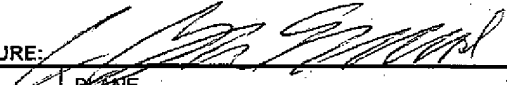
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12/28/2006

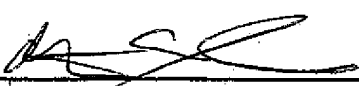
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Larry BALDWIN *et al.* CONFIRMATION NO.: To be Determined
SERIAL NUMBER : To be Determined EXAMINER: To be Determined
FILING DATE : Herewith (October 3, 2011) ART UNIT: To be Determined
FOR : SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

INFORMATION DISCLOSURE STATEMENT (IDS)

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

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants hereby make of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This Information Disclosure Statement is being filed within three months of the filing date of a national application other than a continued prosecution application under 37 C.F.R. §

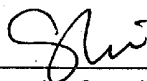
1.53(d), or within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, or before the mailing date of a first Office Action on the merits, or before the mailing date of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No certification or fee is required. 37 C.F.R. § 1.97(b).

Documents 1X-1DD, 2X-2DD, 3X-3DD, 4X-4AA, 5X-5Z, 6X, 6Y, 7X, 7Y, 8X, and 8Y were cited by or submitted to the Office in Application No. 11/580,926, filed October 16, 2006, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449.

Respectfully submitted,

PILLSBURY WINTHROP SHAW PITTMAN LLP

By 
Syed Jafar Ali
Registration No.: 58,780

Customer No.
00909

P. O. Box 10500
McLean, Virginia 22102
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Telefax: (703) 770-7901

Dated: October 3, 2011

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875						Application or Docket Number 13/251,712			
APPLICATION AS FILED - PART I									
(Column 1)		(Column 2)		SMALL ENTITY		OTHER THAN SMALL ENTITY			
FOR	NUMBER FILED	NUMBER EXTRA	RATE(\$)	FEE(\$)		RATE(\$)	FEE(\$)		
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A	95		N/A			
SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A	310		N/A			
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A	125		N/A			
TOTAL CLAIMS (37 CFR 1.16(j))	26	minus 20 = 6	x 30 =	180	OR				
INDEPENDENT CLAIMS (37 CFR 1.16(h))	4	minus 3 = 1	x 125 =	125	OR				
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$310 (\$155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).			0.00					
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))				0.00					
			TOTAL	835		TOTAL			
* If the difference in column 1 is less than zero, enter "0" in column 2.									
APPLICATION AS AMENDED - PART II									
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY		OTHER THAN SMALL ENTITY	
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE(\$)	ADDITIONAL FEE(\$)		RATE(\$)	ADDITIONAL FEE(\$)	
	Total (37 CFR 1.16(i))	*	Minus **	=	x =	OR	x =		
	Independent (37 CFR 1.16(h))	*	Minus ***	=	x =	OR	x =		
	Application Size Fee (37 CFR 1.16(s))					OR			
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					OR			
			TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE			
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY		OTHER THAN SMALL ENTITY	
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE(\$)	ADDITIONAL FEE(\$)		RATE(\$)	ADDITIONAL FEE(\$)	
	Total (37 CFR 1.16(i))	*	Minus **	=	x =	OR	x =		
	Independent (37 CFR 1.16(h))	*	Minus ***	=	x =	OR	x =		
	Application Size Fee (37 CFR 1.16(s))					OR			
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					OR			
			TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE			
* If the entry in column 1 is less than the entry in column 2, write "0" in column 3. ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1.									



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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
13/251,712	10/03/2011	2626	835	090611-0399090	26	4

CONFIRMATION NO. 2136

909

Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

FILING RECEIPT



OC000000050468812

Date Mailed: 10/20/2011

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)

Larry BALDWIN, Maple Valley, WA;
Tom Freeman, Mercer Island, WA;
Michael Tjalve, Bellevue, WA;
Blane Ebersold, Seattle, WA;
Chris Weider, Everett, WA;

Assignment For Published Patent Application

VoiceBox Technologies, Inc., Bellevue, WA

Power of Attorney: The patent practitioners associated with Customer Number 00909

Domestic Priority data as claimed by applicant

This application is a CON of 11/580,926 10/16/2006

Foreign Applications (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see <http://www.uspto.gov> for more information.)

If Required, Foreign Filing License Granted: 10/19/2011

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 13/251,712**

Projected Publication Date: 01/26/2012

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

Preliminary Class

704

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

page 2 of 3

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 Assets Control, 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).



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136
909 7590 12/02/2011 Pillsbury Winthrop Shaw Pittman, LLP (NV) PO Box 10500 McLean, VA 22102			EXAMINER YEN, ERIC L	
			ART UNIT 2626	PAPER NUMBER
			NOTIFICATION DATE 12/02/2011	DELIVERY MODE 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):

docket_ip@pillsburylaw.com
margaret.drosos@pillsburylaw.com

Office Action Summary	Application No. 13/251,712	Applicant(s) BALDWIN ET AL.	
	Examiner ERIC YEN	Art Unit 2626	

-- 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 1 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) 1-26 is/are pending in the application.
5a) Of the above claim(s) ____ is/are withdrawn from consideration.
- 6) ☐ Claim(s) ____ is/are allowed.
- 7) ☐ Claim(s) ____ is/are rejected.
- 8) ☐ Claim(s) ____ is/are objected to.
- 9) ☒ Claim(s) 1-26 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 03 October 2011 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) | 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. ____. |
| 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) ☐ Notice of Informal Patent Application |
| 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date ____. | 6) ☐ Other: ____. |

DETAILED ACTION

Election/Restrictions

1. This application contains claims directed to the following patentably distinct species of cooperative conversational voice user interfaces. The species are independent or distinct because

2. Claims 15-26, are directed to syntactic/grammatical adaptation of outputs based on determining goals, roles and information allocation and different functions (didactic, discrete, exploratory, query) pertaining to different conversation types.

Claims 1-14 are directed to establishing intended meaning using short- and long-term stack information where the short-term stack information expires.

Claims 1-14 and 15-26 are, therefore two sets of claims directed to distinct species that have different modes of operation, functions, and effects

Further within claims 1-14.

Claims 4, 11, are directed to multiple domain agents and resolving deadlocks

Claims 6, 13 are directed to compound requests and multiple sub-tasks

The two sets of claims are, therefore, further distinct species of the species claimed in independent claims 1 and 8

3. In addition, these species are not obvious variants of each other based on the current record.

Art Unit: 2626

Applicant is required under 35 U.S.C. 121 to elect a single disclosed species, or a single grouping of patentably indistinct species, for prosecution on the merits to which the claims shall be restricted if no generic claim is finally held to be allowable. Currently, no claims are generic.

There is a search and/or examination burden for the patentably distinct species as set forth above because at least the following reason(s) apply:

The different species are have separate classifications.

Claims 1-14 are directed to class 704 subclass 9.

Within Claims 1-14, Claims 6 and 13 are directed to class 707 subclass 731 and 732, and Claims 4 and 11 are directed to class 707 subclass 708 and 771

Claims 15-26 are directed to class 704 subclass 270 and 275, class 707 subclass 706.

Applicant is advised that the reply to this requirement to be complete must include (i) an election of a species or a grouping of patentably indistinct species to be examined even though the requirement may be traversed (37 CFR 1.143) and (ii) identification of the claims encompassing the elected species or grouping of patentably indistinct species, including any claims subsequently added. An argument that a claim is allowable or that all claims are generic is considered nonresponsive unless accompanied by an election.

The election may be made with or without traverse. To preserve a right to petition, the election must be made with traverse. If the reply does not distinctly

Art Unit: 2626

and specifically point out supposed errors in the election of species requirement, the election shall be treated as an election without traverse. Traversal must be presented at the time of election in order to be considered timely. Failure to timely traverse the requirement will result in the loss of right to petition under 37 CFR 1.144. If claims are added after the election, applicant must indicate which of these claims are readable on the elected species or grouping of patentably indistinct species.

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

Upon the allowance of a generic claim, applicant will be entitled to consideration of claims to additional species which depend from or otherwise require all the limitations of an allowable generic claim as provided by 37 CFR 1.141.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to ERIC YEN whose telephone number is (571)272-4249. The examiner can normally be reached on M-F 7:30-4:00.

Art Unit: 2626

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on 571-272-7602. 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.

EY 11/28/11

/Eric Yen/

Primary Examiner, Art Unit 2626

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	To be Determined
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	Herewith (October 3, 2011)	To be Determined

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1A	4,430,669	02/07/1984	Cheung	358	122	
	1B	5,027,406	06/25/1991	Roberts <i>et al.</i>	381	43	
	1C	5,155,743	10/13/1992	Jacobs	375	28	
	1D	5,274,560	12/28/1993	LaRue	364	444	
	1E	5,377,350	12/27/1994	Skinner	395	600	
	1F	5,386,556	01/31/1995	Hedin <i>et al.</i>	395	600	
	1G	5,424,947	06/13/1995	Nagao <i>et al.</i>	364	419.08	
	1H	5,471,318	11/28/1995	Ahuja <i>et al.</i>	358	400	
	1I	5,475,733	12/12/1995	Eisdorfer <i>et al.</i>	379	52	
	1J	5,488,652	01/30/1996	Bielby <i>et al.</i>	379	88	
	1K	5,499,289	03/12/1996	Bruno <i>et al.</i>	379	220	
	1L	5,500,920	03/19/1996	Kupiec	395	2.79	
	1M	5,517,560	05/14/1996	Greenspan	379	114	
	1N	5,533,108	07/02/1996	Harris <i>et al.</i>	379	201	
	1O	5,537,436	07/16/1996	Bottoms <i>et al.</i>	375	222	
	1P	5,539,744	07/23/1996	Chu <i>et al.</i>	370	60	
	1Q	5,557,667	09/17/1996	Bruno <i>et al.</i>	379	201	
	1R	5,563,937	10/08/1996	Bruno <i>et al.</i>	379	201	
	1S	5,590,039	12/31/1996	Ikeda <i>et al.</i>	395	759	
	1T	5,617,407	04/01/1997	Bareis	369	275.3	
	1U	5,633,922	05/27/1997	August <i>et al.</i>	379	220	
	1V	5,675,629	10/07/1997	Raffel <i>et al.</i>	379	58	
	1W	5,696,965	12/09/1997	Dedrick	395	610	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
	1X	1 320 043 A2	06/18/2003	Europe				
	1Y	1 646 037	04/12/2006	Europe				
	1Z	WO 99/46763	09/16/1999	International				
	1AA	WO 00/21232	04/13/2000	International				
	1BB	WO 00/46792	08/10/2000	International				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	1CC	REUTERS, "IBM to Enable Honda Drivers to Talk to Cars", Charles Schwab & Co., Inc., July 28, 2002, 1 page.
	1DD	LIN, Bor-shen, <i>et al.</i> , "A Distributed Architecture for Cooperative Spoken Dialogue Agents with Coherent Dialogue State and History", ASRU'99, 1999, 4 pages.

EXAMINER	DATE CONSIDERED
/E. Yen/	11/28/2011
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number	
				090611-0399090		To be Determined	
				Applicant(s)			
				Larry BALDWIN <i>et al.</i>			
				Filing Date		Group Art Unit	
Form PTO-1449				Herewith (October 3, 2011)		To be Determined	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2A	5,708,422	01/13/1998	Blonder <i>et al.</i>	340	825.34	
	2B	5,721,938	02/24/1998	Stuckey	395	754	
	2C	5,722,084	02/24/1998	Chakrin <i>et al.</i>	455	551	
	2D	5,742,763	04/21/1998	Jones	395	200.3	
	2E	5,748,841	05/05/1998	Morin <i>et al.</i>	395	2.66	
	2F	5,752,052	05/12/1998	Richardson <i>et al.</i>	395	759	
	2G	5,754,784	05/19/1998	Garland <i>et al.</i>	395	200.49	
	2H	5,761,631	06/02/1998	Nasukawa	704	9	
	2I	5,774,859	06/30/1998	Houser <i>et al.</i>	704	275	
	2J	5,794,050	08/11/1998	Dahlgren <i>et al.</i>	395	708	
	2K	5,794,196	08/11/1998	Yegnanarayanan <i>et al.</i>	704	255	
	2L	5,797,112	08/18/1998	Komatsu <i>et al.</i>	701	201	
	2M	5,799,276	08/25/1998	Komissarchik <i>et al.</i>	704	251	
	2N	5,802,510	09/01/1998	Jones	707	2	
	2O	5,832,221	11/03/1998	Jones	375	200.36	
	2P	5,839,107	11/17/1998	Gupta <i>et al.</i>	704	270	
	2Q	5,867,817	02/02/1999	Catallo <i>et al.</i>	704	255	
	2R	5,878,385	03/02/1999	Bralich <i>et al.</i>	704	9	
	2S	5,878,386	03/02/1999	Coughlin	704	10	
	2T	5,892,813	04/06/1999	Morin <i>et al.</i>	379	88.01	
	2U	5,895,464	04/20/1999	Bhandari <i>et al.</i>	707	3	
	2V	5,895,466	04/20/1999	Goldberg <i>et al.</i>	707	5	
	2W	5,897,613	04/27/1999	Chan	704	210	

FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
	2X	WO 01/78065	10/18/2001	International				
	2Y	WO 2004/072954	08/26/2004	International				
	2Z	WO 2007/019318	02/15/2007	International				
	2AA	WO 2007/021587	02/22/2007	International				
	2BB	WO 2007/027546	03/08/2007	International				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
	2CC KUHN, Thomas, <i>et al.</i> , "Hybrid In-Car Speech Recognition for Mobile Multimedia Applications", Vehicular Technology Conference, IEEE, July 1999, pages 2009-2013.
	2DD BELVIN, Robert, <i>et al.</i> , "Development of the HRL Route Navigation Dialogue System", Proceedings of the First International Conference on Human Language Technology Research, San Diego, 2001, pages 1-5.

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				090611-0399090		To be Determined						
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				Filing Date		Group Art Unit						
Form PTO-1449				Herewith (October 3, 2011)		To be Determined						
U.S. PATENT DOCUMENTS												
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE					
	3A	5,902,347	05/11/1999	Backman <i>et al.</i>	701	200						
	3B	5,911,120	06/08/1999	Jarett <i>et al.</i>	455	417						
	3C	5,918,222	06/29/1999	Fukui <i>et al.</i>	707	1						
	3D	5,926,784	07/20/1999	Richardson <i>et al.</i>	704	9						
	3E	5,933,822	08/03/1999	Braden-Harder <i>et al.</i>	707	5						
	3F	5,953,393	09/14/1999	Culbreth <i>et al.</i>	379	88.25						
	3G	5,960,399	09/28/1999	Barclay <i>et al.</i>	704	270						
	3H	5,960,447	09/28/1999	Holt <i>et al.</i>	707	500						
	3I	5,963,894	10/05/1999	Richardson <i>et al.</i>	704	9						
	3J	5,963,940	10/05/1999	Liddy <i>et al.</i>	707	5						
	3K	5,987,404	11/16/1999	Della Pietra <i>et al.</i>	704	9						
	3L	5,991,721	11/23/1999	Asano <i>et al.</i>	704	257						
	3M	5,995,119	11/30/1999	Cosatto <i>et al.</i>	345	473						
	3N	5,995,928	11/30/1999	Nguyen <i>et al.</i>	704	251						
	3O	6,009,382	12/28/1999	Martino <i>et al.</i>	704	1						
	3P	6,014,559	01/11/2000	Amin	455	413						
	3Q	6,018,708	01/25/2000	Dahan <i>et al.</i>	704	244						
	3R	6,021,384	02/01/2000	Gorin <i>et al.</i>	704	1						
	3S	6,044,347	03/28/2000	Abella <i>et al.</i>	704	272						
	3T	6,049,602	04/11/2000	Foladare <i>et al.</i>	379	265						
	3U	6,049,607	04/11/2000	Marash <i>et al.</i>	379	410						
	3V	6,058,187	05/02/2000	Chen	380	21						
	3W	6,078,886	06/20/2000	Dragosh <i>et al.</i>	704	270						
FOREIGN PATENT DOCUMENTS												
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations					
							YES	NO				
	3X	WO 2007/027989	03/08/2007	International								
	3Y	WO 2008/098039	08/14/2008	International								
	3Z	WO 2008/118195	10/02/2008	International								
	3AA	WO 2009/075912	06/18/2009	International								
	3BB	WO 2009/145796	12/03/2009	International								
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)												
	3CC	LIND, R., <i>et al.</i> , "The Network Vehicle—A Glimpse into the Future of Mobile Multi-Media", <u>IEEE Aerosp. Electron. Systems Magazine</u> , Volume 14, No. 9, September 1999, pages 27-32.										
	3DD	ZHAO, Yilin, "Telematics: Safe and Fun Driving", <u>IEEE Intelligent Systems</u> , Volume 17, Issue 1, 2002, pages 10-14.										
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">EXAMINER</td> <td style="width: 40%; text-align: center;">/E. Yen/</td> <td style="width: 30%;">DATE CONSIDERED</td> <td style="width: 10%; text-align: center;">11/28/2011</td> </tr> </table>									EXAMINER	/E. Yen/	DATE CONSIDERED	11/28/2011
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	4A	6,081,774	06/27/2000	De Hita <i>et al.</i>	704	9	
	4B	6,085,186	07/04/2000	Christianson <i>et al.</i>	707	3	
	4C	6,101,241	08/08/2000	Boyce <i>et al.</i>	379	88.01	
	4D	6,108,631	08/22/2000	Ruhl	704	270	
	4E	6,119,087	09/12/2000	Kuhn <i>et al.</i>	704	270	
	4F	6,134,235	10/17/2000	Goldman <i>et al.</i>	370	352	
	4G	6,144,667	11/07/2000	Doshi <i>et al.</i>	370	401	
	4H	6,144,938	11/07/2000	Surace <i>et al.</i>	704	257	
	4I	6,154,526	11/28/2000	Dahlke <i>et al.</i>	379	88.03	
	4J	6,160,883	12/12/2000	Jackson <i>et al.</i>	379	230	
	4K	6,167,377	12/26/2000	Gillick <i>et al.</i>	704	240	
	4L	6,173,266	01/09/2001	Marx <i>et al.</i>	704	270	
	4M	6,173,279	01/09/2001	Levin <i>et al.</i>	707	5	
	4N	6,175,858	01/16/2001	Bulfer <i>et al.</i>	709	206	
	4O	6,185,535	02/06/2001	Hedin <i>et al.</i>	704	270	
	4P	6,192,110	02/20/2001	Abella <i>et al.</i>	379	88.01	
	4Q	6,192,338	02/20/2001	Haszto <i>et al.</i>	704	257	
	4R	6,195,634	02/27/2001	Dudemaine <i>et al.</i>	704	231	
	4S	6,195,651	02/27/2001	Handel <i>et al.</i>	707	2	
	4T	6,208,964	03/27/2001	Sabourin	704	244	
	4U	6,208,972	03/27/2001	Grant <i>et al.</i>	704	275	
	4V	6,219,346	04/17/2001	Maxemchuk	370	338	
	4W	6,219,643	04/17/2001	Cohen <i>et al.</i>	704	257	

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							YES	NO
	4X	WO 2010/096752	08/26/2010	International				

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	4Y	CHAI <i>et al.</i> , "MIND: A Semantics-Based Multimodal Interpretation Framework for Conversational System", Proceedings of the International CLASS Workshop on Natural, Intelligent and Effective Interaction in Multimodal Dialogue Systems, June 2002, pages 37-46.
	4Z	CHEYER <i>et al.</i> , "Multimodal Maps: An Agent-Based Approach", International Conference on Cooperative Multimodal Communication (CMC/95), May 24-26, 1995, pages 111-121.
	4AA	ELIO <i>et al.</i> , "On Abstract Task Models and Conversation Policies" in Workshop on Specifying and Implementing Conversation Policies, Autonomous Agents '99, Seattle, 1999, 10 pages.

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	5A	6,226,612	05/01/2001	Srenger <i>et al.</i>	704	256	
	5B	6,233,556	05/15/2001	Teunen <i>et al.</i>	704	250	
	5C	6,233,559	05/15/2001	Balakrishnan	704	275	
	5D	6,246,981	06/12/2001	Papineni <i>et al.</i>	704	235	
	5E	6,269,336	07/31/2001	Ladd <i>et al.</i>	704	270	
	5F	6,272,455	08/07/2001	Hoshen <i>et al.</i>	704	1	
	5G	6,278,968	08/21/2001	Franz <i>et al.</i>	704	3	
	5H	6,288,319	09/11/2001	Catona	84	609	
	5I	6,292,767	09/18/2001	Jackson <i>et al.</i>	704	1	
	5J	6,308,151	10/23/2001	Smith	704	235	
	5K	6,314,402	11/06/2001	Monaco <i>et al.</i>	704	275	
	5L	6,366,882	04/02/2002	Bijl <i>et al.</i>	704	235	
	5M	6,366,886	04/02/2002	Dragosh <i>et al.</i>	704	270.1	
	5N	6,374,214	04/16/2002	Friedland <i>et al.</i>	704	235	
	5O	6,377,913	04/23/2002	Coffman <i>et al.</i>	704	8	
	5P	6,381,535	04/30/2002	Durocher <i>et al.</i>	701	202	
	5Q	6,385,596	05/07/2002	Wiser <i>et al.</i>	705	51	
	5R	6,385,646	05/07/2002	Brown <i>et al.</i>	709	217	
	5S	6,393,428	05/21/2002	Miller <i>et al.</i>	707	102	
	5T	6,397,181	05/28/2002	Li <i>et al.</i>	704	256	
	5U	6,404,878	06/11/2002	Jackson <i>et al.</i>	379	221.01	
	5V	6,405,170	06/11/2002	Phillips <i>et al.</i>	704	270	
	5W	6,408,272	06/18/2002	White <i>et al.</i>	704	270.1	

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	5X	TURUNEN, "Adaptive Interaction Methods in Speech User Interfaces", Conference on Human Factors in Computing Systems, Seattle, Washington, 2001, pages 91-92.
	5Y	MAO, Mark Z., "Automatic Training Set Segmentation for Multi-Pass Speech Recognition", Department of Electrical Engineering, Stanford University, CA, copyright 2005, IEEE, pages I-685 to I-688.
	5Z	VANHOUCKE, Vincent, "Confidence Scoring and Rejection Using Multi-Pass Speech Recognition", Nuance Communications, Menlo Park, CA, 2005, 4 pages.

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	6A	6,411,810	06/25/2002	Maxemchuk	455	453		
	6B	6,415,257	07/02/2002	Junqua <i>et al.</i>	704	275		
	6C	6,418,210	07/09/2002	Sayko	379	142.15		
	6D	6,420,975	07/16/2002	DeLine <i>et al.</i>	340	815.4		
	6E	6,429,813	08/06/2002	Feigen	342	357.13		
	6F	6,430,285	08/06/2002	Bauer <i>et al.</i>	379	265.01		
	6G	6,430,531	08/06/2002	Polish	704	257		
	6H	6,434,523	08/13/2002	Monaco	704	257		
	6I	6,434,524	08/13/2002	Weber	704	257		
	6J	6,442,522	08/27/2002	Carberry <i>et al.</i>	704	257		
	6K	6,446,114	09/03/2002	Bulfer <i>et al.</i>	709	206		
	6L	6,453,153	09/17/2002	Bowker <i>et al.</i>	455	67.4		
	6M	6,453,292	09/17/2002	Ramaswamy <i>et al.</i>	704	235		
	6N	6,456,711	09/24/2002	Cheung <i>et al.</i>	379	265.09		
	6O	6,466,654	10/15/2002	Cooper <i>et al.</i>	379	88.01		
	6P	6,466,899	10/15/2002	Yano <i>et al.</i>	704	1		
	6Q	6,470,315	10/22/2002	Netsch <i>et al.</i>	704	256		
	6R	6,498,797	12/24/2002	Anerousis <i>et al.</i>	370	522		
	6S	6,499,013	12/24/2002	Weber	704	257		
	6T	6,501,833	12/31/2002	Phillips <i>et al.</i>	379	88.07		
	6U	6,501,834	12/31/2002	Milewski <i>et al.</i>	379	93.24		
	6V	6,513,006	01/28/2003	Howard <i>et al.</i>	704	257		
	6W	6,522,746	02/18/2003	Marchok <i>et al.</i>	379	406.03		
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	6X	WENG, Fullang, <i>et al.</i> , "Efficient Lattice Representation and Generation", Speech Technology and Research Laboratory, SRI International, Menlo Park, CA, 1998, 4 pages.						
	6Y	EL MELIANI <i>et al.</i> , "A Syllabic-Filler-Based Continuous Speech Recognizer for Unlimited Vocabulary", Canadian Conference on Electrical and Computer Engineering, Volume 2, September 5-8, 1995, pages 1007-1010.						

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	7A	6,523,061	02/18/2003	Halverson et al.	709	202	
	7B	6,532,444	03/11/2003	Weber	704	257	
	7C	6,539,348	03/25/2003	Bond et al.	704	9	
	7D	6,549,629	04/15/2003	Finn <i>et al.</i>	381	92	
	7E	6,553,372	04/22/2003	Brassell et al.	707	5	
	7F	6,556,970	04/29/2003	Sasaki <i>et al.</i>	704	257	
	7G	6,556,973	04/29/2003	Lewin	704	277	
	7H	6,560,576	05/06/2003	Cohen et al.	704	270	
	7I	6,567,778	05/20/2003	Chao Chang et al.	704	257	
	7J	6,567,797	05/20/2003	Schuetze <i>et al.</i>	707	2	
	7K	6,570,555	05/27/2003	Prevost <i>et al.</i>	345	156	
	7L	6,570,964	05/27/2003	Murveit et al.	379	67.1	
	7M	6,574,597	06/03/2003	Mohri <i>et al.</i>	704	251	
	7N	6,574,624	06/03/2003	Johnson et al.	707	5	
	7O	6,581,103	06/17/2003	Dengler	709	231	
	7P	6,587,858	07/01/2003	Strazza	707	102	
	7Q	6,594,257	07/15/2003	Doshi et al.	370	352	
	7R	6,598,018	07/22/2003	Junqua	704	251	
	7S	6,604,075	08/05/2003	Brown <i>et al.</i>	704	270.1	
	7T	6,604,077	08/05/2003	Dragosh et al.	704	270.1	
	7U	6,606,598	08/12/2003	Holthouse <i>et al.</i>	704	275	
	7V	6,611,692	08/26/2003	Raffel et al.	455	552	
	7W	6,614,773	09/02/2003	Maxemchuk	370	337	

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7X	ARRINGTON, Michael, "Google Redefines GPS Navigation Landscape: Google Maps Navigation for Android 2.0", TechCrunch, printed from the Internet < http://www.techcrunch.com/2009/10/28/google-redefines-car-gps-navigation-google-maps-navigation-android/ >, October 28, 2009, 4 pages.
7Y	BAZZI, Issam <i>et al.</i> , "Heterogeneous Lexical Units for Automatic Speech Recognition: Preliminary Investigations", <u>Processing of the IEEE International Conference on Acoustics, Speech, and Signal Processing</u> , Volume 3, June 5-9, 2000, XP010507574, pages 1257-1260.

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	8A	6,615,172	09/02/2003	Bennett <i>et al.</i>	704	257	
	8B	6,622,119	09/16/2003	Ramaswamy <i>et al.</i>	704	9	
	8C	6,629,066	09/30/2003	Jackson <i>et al.</i>	704	9	
	8D	6,631,346	10/07/2003	Karaorman <i>et al.</i>	704	9	
	8E	6,643,620	11/04/2003	Contolini <i>et al.</i>	704	270	
	8F	6,650,747	11/18/2003	Bala <i>et al.</i>	379	265.06	
	8G	6,658,388	12/02/2003	Kleindienst <i>et al.</i>	704	275	
	8H	6,678,680	01/13/2004	Woo	707	6	
	8I	6,681,206	01/20/2004	Gorin <i>et al.</i>	704	243	
	8J	6,691,151	02/10/2004	Cheyre <i>et al.</i>	709	202	
	8K	6,701,294	03/02/2004	Ball <i>et al.</i>	704	257	
	8L	6,704,708	03/09/2004	Pickering	704	235	
	8M	6,708,150	03/16/2004	Hirayama <i>et al.</i>	704	243	
	8N	6,721,001	04/13/2004	Berstis	348	231.3	
	8O	6,721,706	04/13/2004	Strubbe <i>et al.</i>	704	275	
	8P	6,735,592	05/11/2004	Neumann <i>et al.</i>	707	101	
	8Q	6,741,931	05/25/2004	Kohut <i>et al.</i>	701	209	
	8R	6,742,021	05/25/2004	Halverson <i>et al.</i>	709	218	
	8S	6,751,591	06/15/2004	Gorin <i>et al.</i>	704	257	
	8T	6,751,612	06/15/2004	Schuetze <i>et al.</i>	707	4	
	8U	6,757,718	06/29/2004	Halverson <i>et al.</i>	709	218	
	8V	6,795,808	09/21/2004	Strubbe <i>et al.</i>	704	275	
	8W	6,801,604	10/05/2004	Maes <i>et al.</i>	379	88.17	

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	8X	O'SHAUGHNESSY, Douglas, "Interacting with Computers by Voice: Automatic Speech Recognition and Synthesis", <u>Proceedings of the IEEE</u> , Volume 91, No. 9, September 1, 2003, XP011100665, pages 1272-1305.
	8Y	"Statement in Accordance with the Notice from the European Patent Office dated 1 October 2007 Concerning Business Methods (OJ EPO 11/2007, 592-593), XP002456252.

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	9A	6,801,893	10/05/2004	Backfried <i>et al.</i>	704	257	
	9B	6,829,603	12/07/2004	Chai <i>et al.</i>	707	5	
	9C	6,832,230	12/14/2004	Zilliacus <i>et al.</i>	707	203	
	9D	6,833,848	12/21/2004	Wolff <i>et al.</i>	345	719	
	9E	6,856,990	02/15/2005	Barile <i>et al.</i>	707	10	
	9F	6,865,481	03/08/2005	Kawazoe <i>et al.</i>	701	211	
	9G	6,877,134	04/05/2005	Fuller <i>et al.</i>	715	500.1	
	9H	6,901,366	05/31/2005	Kuhn <i>et al.</i>	704	275	
	9I	6,912,498	06/28/2005	Stevens <i>et al.</i>	704	235	
	9J	6,937,977	08/30/2005	Gerson	704	201	
	9K	6,944,594	09/13/2005	Busayapongchai <i>et al.</i>	704	275	
	9L	6,950,821	09/27/2005	Faybishenko <i>et al.</i>	707	10	
	9M	6,954,755	10/11/2005	Reisman	707	10	
	9N	6,973,387	12/06/2005	Masclet <i>et al.</i>	701	211	
	9O	6,975,993	12/13/2005	Keiller	704	275	
	9P	6,980,092	12/27/2005	Turnbull <i>et al.</i>	340	425.5	
	9Q	6,990,513	01/24/2006	Belfiore <i>et al.</i>	709	203	
	9R	6,996,531	02/07/2006	Korall <i>et al.</i>	704	270	
	9S	7,003,463	02/21/2006	Maes <i>et al.</i>	704	270.1	
	9T	7,016,849	03/21/2006	Arnold <i>et al.</i>	704	275	
	9U	7,020,609	03/28/2006	Thrift <i>et al.</i>	704	270.1	
	9V	7,024,364	04/04/2006	Guerra <i>et al.</i>	704	270	
	9W	7,027,975	04/11/2006	Pazandak <i>et al.</i>	704	9	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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	090611-0399090	To be Determined
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	Herewith (October 3, 2011)	To be Determined

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	10A	7,054,817	05/30/2006	Shao	704	270	
	10B	7,058,890	06/06/2006	George <i>et al.</i>	715	728	
	10C	7,062,488	06/13/2006	Reisman	707	8	
	10D	7,082,469	07/25/2006	Gold <i>et al.</i>	709	231	
	10E	7,092,928	08/15/2006	Elad <i>et al.</i>	706	60	
	10F	7,127,400	10/24/2006	Koch	704	270.1	
	10G	7,136,875	11/14/2006	Anderson <i>et al.</i>	707	104.1	
	10H	7,137,126	11/14/2006	Coffman <i>et al.</i>	719	328	
	10I	7,143,037	11/28/2006	Chestnut	704	251	
	10J	7,146,319	12/05/2006	Hunt	704	254	
	10K	7,197,069	03/27/2007	Agazzi <i>et al.</i>	375	233	
	10L	7,203,644	04/10/2007	Anderson <i>et al.</i>	704	246	
	10M	7,228,276	06/05/2007	Omote <i>et al.</i>	704	243	
	10N	7,231,343	06/12/2007	Treadgold <i>et al.</i>	704	9	
	10O	7,236,923	06/26/2007	Gupta	704	9	
	10P	7,277,854	10/02/2007	Bennett <i>et al.</i>	704	257	
	10Q	7,289,606	10/30/2007	Sibal <i>et al.</i>	379	52	
	10R	7,301,093	11/27/2007	Sater <i>et al.</i>	84	615	
	10S	7,337,116	02/26/2008	Charlesworth <i>et al.</i>	704	254	
	10T	7,340,040	03/04/2008	Saylor <i>et al.</i>	379	67.1	
	10U	7,366,669	04/29/2008	Nishitani <i>et al.</i>	704	256	
	10V	7,376,645	05/20/2008	Bernard	707	3	
	10W	7,386,443	06/10/2008	Parthasarathy <i>et al.</i>	704	201	

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	11A	7,398,209	07/08/2008	Kennewick <i>et al.</i>	704	255	
	11B	7,415,414	08/19/2008	Azara <i>et al.</i>	704	270	
	11C	7,424,431	09/09/2008	Greene <i>et al.</i>	704	270	
	11D	7,461,059	12/02/2008	Richardson <i>et al.</i>	707	5	
	11E	7,472,020	12/30/2008	Brulle-Drews	701	211	
	11F	7,472,060	12/30/2008	Gorin <i>et al.</i>	704	240	
	11G	7,487,088	02/03/2009	Gorin <i>et al.</i>	704	240	
	11H	7,493,259	02/17/2009	Jones <i>et al.</i>	704	257	
	11I	7,493,559	02/17/2009	Wolff <i>et al.</i>	715	727	
	11J	7,502,738	03/10/2009	Kennewick <i>et al.</i>	704	257	
	11K	7,536,297	05/19/2009	Byrd <i>et al.</i>	704	10	
	11L	7,536,374	05/19/2009	Au	706	55	
	11M	7,558,730	07/07/2009	Davis <i>et al.</i>	704	235	
	11N	7,620,549	11/17/2009	Di Cristo <i>et al.</i>	704	257	
	11O	7,634,409	12/15/2009	Kennewick <i>et al.</i>	704	257	
	11P	7,640,160	12/29/2009	Di Cristo <i>et al.</i>	704	257	
	11Q	7,676,365	03/09/2010	Hwang <i>et al.</i>	704	240	
	11R	7,693,720	04/06/2010	Kennewick <i>et al.</i>	704	275	
	11S	7,788,084	08/31/2010	Brun <i>et al.</i>	704	7	
	11T	7,809,570	10/05/2010	Kennewick <i>et al.</i>	704	257	
	11U	7,818,176	10/19/2010	Freeman <i>et al.</i>	704	270	
	11V	7,831,433	11/09/2010	Belvin <i>et al.</i>	704	275	
	11W	7,873,523	01/18/2011	Potter <i>et al.</i>	704	275	

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Form PTO-1449				Herewith (October 3, 2011)		To be Determined		
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	12A	7,917,367	03/29/2011	Di Cristo <i>et al.</i>	704	270.1		
	12B	7,949,529	05/24/2011	Weider <i>et al.</i>	704	270		
	12C	7,983,917	07/19/2011	Kennewick <i>et al.</i>	704	257		
	12D	8,015,006	09/06/2011	Kennewick <i>et al.</i>	704	236		
	12E	2001/0041980	11/15/2001	Howard <i>et al.</i>	704	270		
	12F	2001/0049601	12/06/2001	Kroeker <i>et al.</i>	704	254		
	12G	2002/0035501	03/21/2002	Handel <i>et al.</i>	705	10		
	12H	2002/0049805	04/25/2002	Yamada <i>et al.</i>	709	202		
	12I	2002/0065568	05/30/2002	Silfvast <i>et al.</i>	700	94		
	12J	2002/0069059	06/06/2002	Smith	704	257		
	12K	2002/0082911	06/27/2002	Dunn <i>et al.</i>	705	14		
	12L	2002/0087525	07/04/2002	Abbott <i>et al.</i>	707	3		
	12M	2002/0120609	08/29/2002	Lang <i>et al.</i>	707	1		
	12N	2002/0124050	09/05/2002	Middeljans	709	203		
	12O	2002/0138248	09/26/2002	Corston-Oliver <i>et al.</i>	704	1		
	12P	2002/0143535	10/03/2002	Kist <i>et al.</i>	704	251		
	12Q	2002/0188602	12/12/2002	Stubler <i>et al.</i>	707	3		
	12R	2002/0198714	12/26/2002	Zhou	704	252		
	12S	2003/0014261	01/16/2003	Kageyama	704	275		
	12T	2003/0046346	03/06/2003	Mumick <i>et al.</i>	709	205		
	12U	2003/0064709	04/03/2003	Gailey <i>et al.</i>	455	412		
	12V	2003/0088421	05/08/2003	Maes <i>et al.</i>	704	270.1		
	12W	2003/0097249	05/22/2003	Walker <i>et al.</i>	704	1		
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*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	13A	2003/0112267	06/19/2003	Belrose	345	728		
	13B	2003/0120493	06/26/2003	Gupta	704	270.1		
	13C	2003/0135488	07/17/2003	Amir <i>et al.</i>	707	3		
	13D	2003/0144846	07/31/2003	Denenberg <i>et al.</i>	704	277		
	13E	2003/0158731	08/21/2003	Falcon <i>et al.</i>	704	231		
	13F	2003/0182132	09/25/2003	Niemoeller	704	275		
	13G	2003/0212550	11/13/2003	Ubale	704	215		
	13H	2003/0236664	12/25/2003	Sharma	704	251		
	13I	2004/0006475	01/08/2004	Ehlen <i>et al.</i>	704	270.1		
	13J	2004/0025115	02/05/2004	Sienel <i>et al.</i>	715	513		
	13K	2004/0044516	03/04/2004	Kennewick <i>et al.</i>	704	5		
	13L	2004/0166832	08/26/2004	Portman <i>et al.</i>	455	412.1		
	13M	2004/0167771	08/26/2004	Duan <i>et al.</i>	704	10		
	13N	2004/0193408	09/30/2004	Hunt	704	209		
	13O	2004/0193420	09/30/2004	Kennewick <i>et al.</i>	704	257		
	13P	2004/0199375	10/07/2004	Ehsani <i>et al.</i>	704	4		
	13Q	2004/0243417	12/02/2004	Pitts, III <i>et al.</i>	704	276		
	13R	2005/0015256	01/20/2005	Kargman	704	272		
	13S	2005/0021334	01/27/2005	Iwahashi	704	240		
	13T	2005/0021826	01/27/2005	Kumar	709	232		
	13U	2005/0033574	02/10/2005	Kim <i>et al.</i>	704	251		
	13V	2005/0043940	02/24/2005	Elder	704	9		
	13W	2005/0114116	05/26/2005	Fiedler	704	201		
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	14A	2005/0137850	06/23/2005	Odell	704	4		
	14B	2005/0246174	11/03/2005	DeGolia	704	270		
	14C	2006/0206310	09/14/2006	Ravikumar <i>et al.</i>	704	9		
	14D	2007/0033005	02/08/2007	Cristo <i>et al.</i>	704	9		
	14E	2007/0033020	02/08/2007	(Kelleher) Francois <i>et al.</i>	704	226		
	14F	2007/0038436	02/15/2007	Cristo <i>et al.</i>	704	9		
	14G	2007/0043574	02/22/2007	Coffman <i>et al.</i>	704	275		
	14H	2007/0050191	03/01/2007	Weider <i>et al.</i>	704	275		
	14I	2007/0055525	03/08/2007	Kennewick <i>et al.</i>	704	257		
	14J	2007/0118357	05/24/2007	Kasravi <i>et al.</i>	704	10		
	14K	2007/0179778	08/02/2007	Gong <i>et al.</i>	704	9		
	14L	2007/0186165	08/09/2007	Maislos <i>et al.</i>	715	728		
	14M	2007/0214182	09/13/2007	Rosenberg	707	104.1		
	14N	2007/0250901	10/25/2007	McIntire <i>et al.</i>	725	146		
	14O	2007/0265850	11/15/2007	Kennewick <i>et al.</i>	704	257		
	14P	2007/0299824	12/27/2007	Pan <i>et al.</i>	707	3		
	14Q	2008/0091406	04/17/2008	Baldwin <i>et al.</i>	704	4		
	14R	2008/0103761	05/01/2008	Printz <i>et al.</i>	704	9		
	14S	2008/0115163	05/15/2008	Gilboa <i>et al.</i>	725	34		
	14T	2008/0133215	06/05/2008	Sarukkai	704	2		
	14U	2008/0140385	06/12/2008	Mahajan <i>et al.</i>	704	9		
	14V	2008/0177530	07/24/2008	Cross <i>et al.</i>	704	4		
	14W	2008/0189110	08/07/2008	Freeman <i>et al.</i>	704	251		
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	15A	2008/0235023	09/25/2008	Kennewick <i>et al.</i>	704	257	
	15B	2008/0235027	09/25/2008	Cross	704	270.1	
	15C	2008/0319751	12/25/2008	Kennewick <i>et al.</i>	704	257	
	15D	2009/0117885	05/07/2009	Roth	455	414.3	
	15E	2009/0144271	06/04/2009	Richardson <i>et al.</i>	707	5	
	15F	2009/0150156	06/11/2009	Kennewick <i>et al.</i>	704	257	
	15G	2009/0171664	07/02/2009	Kennewick <i>et al.</i>	704	257	
	15H	2009/0216540	08/27/2009	Tessel <i>et al.</i>	704	275	
	15I	2009/0271194	10/29/2009	Davis <i>et al.</i>	704	235	
	15J	2009/0299745	12/03/2009	Kennewick <i>et al.</i>	704	257	
	15K	2010/0023320	01/28/2010	Di Cristo <i>et al.</i>	704	9	
	15L	2010/0049501	02/25/2010	Kennewick <i>et al.</i>	704	9	
	15M	2010/0049514	02/25/2010	Kennewick <i>et al.</i>	704	233	
	15N	2010/0057443	03/04/2010	Di Cristo <i>et al.</i>	704	9	
	15O	2010/0063880	03/11/2010	Atsmon <i>et al.</i>	705	14.53	
	15P	2010/0145700	06/10/2010	Kennewick <i>et al.</i>	704	257	
	15Q	2010/0204986	08/12/2010	Kennewick <i>et al.</i>	704	226	
	15R	2010/0204994	08/12/2010	Kennewick <i>et al.</i>	704	257	
	15S	2010/0217604	08/26/2010	Baldwin <i>et al.</i>	704	275	
	15T	2010/0286985	11/11/2010	Kennewick <i>et al.</i>	704	257	
	15U	2010/0299142	11/25/2010	Freeman <i>et al.</i>	704	9	
	15V	2011/0112827	05/12/2011	Kennewick <i>et al.</i>	704	9	
	15W	2011/0112921	05/12/2011	Kennewick <i>et al.</i>	705	26.1	

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CONFIRMATION NO. 2136

SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.		
13/251,712	10/03/2011	704	2626	090611-0399090		
RULE						
APPLICANTS Larry BALDWIN, Maple Valley, WA; Tom Freeman, Mercer Island, WA; Michael Tjalve, Bellevue, WA; Blane Ebersold, Seattle, WA; Chris Weider, Everett, WA;						
** CONTINUING DATA ***** This application is a CON of 11/580,926 10/16/2006 PAT 8,073,681						
** FOREIGN APPLICATIONS *****						
** IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** ** SMALL ENTITY ** 10/19/2011						
Foreign Priority claimed ☐ Yes ☒ No 35 USC 119(a-d) conditions met ☐ Yes ☒ No Verified and /ERIC L YEN/ Acknowledged Examiner's Signature		☐ Met after Allowance Initials	STATE OR COUNTRY WA	SHEETS DRAWINGS 3	TOTAL CLAIMS 26	INDEPENDENT CLAIMS 4
ADDRESS Pillsbury Winthrop Shaw Pittman, LLP (NV) PO Box 10500 McLean, VA 22102 UNITED STATES						
TITLE SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE						
FILING FEE RECEIVED 835	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		

<i>Index of Claims</i>	Application/Control No.	Applicant(s)/Patent Under Reexamination
	Examiner	Art Unit

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

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

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Larry BALDWIN et al. CONFIRMATION No. : 2136
SERIAL NUMBER : 13/251,712 EXAMINER : Eric L. Yen
FILING DATE : October 3, 2011 ART UNIT : 2626
FOR : SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

RESPONSE TO RESTRICTION REQUIREMENT

Mail Stop Amendment

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

Dear Sir:

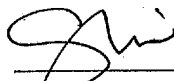
In response to the Restriction Requirement mailed **December 2, 2011**, and in no way acquiescing to the propriety associated with the allegations set forth therein, Applicants hereby elect the species in claims 15-26 to be prosecuted on the merits. Applicants make this election without traverse.

Applicants believe that no extensions of time or other fees are due beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time or other fees are determined to be due, the Director is hereby authorized to charge the same to our Deposit Account No. 033975 (**Ref. No. 090611-0399090**).

Date: **December 19, 2011**

Respectfully submitted,

By:



Syed Jafar Ali
Registration No. 58,780

PILLSBURY WINTHROP SHAW PITTMAN LLP
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McLean, Virginia 22102
Main: 703-770-7900
Fax: 703-770-7901

Electronic Acknowledgement Receipt

EFS ID:	11649529
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	909
Filer:	Syed Jafar Ali/Diane Bogusz
Filer Authorized By:	Syed Jafar Ali
Attorney Docket Number:	090611-0399090
Receipt Date:	19-DEC-2011
Filing Date:	03-OCT-2011
Time Stamp:	12:45:44
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Response to Election / Restriction Filed	0399090.PDF	45470 a44dc68fac6cf329dbc24aafdab11868acd0857	no	1

Warnings:

Information:

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

New Applications Under 35 U.S.C. 111

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

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

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

New International Application Filed with the USPTO as a Receiving Office

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

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Larry BALDWIN et al. CONFIRMATION No. : 2136
SERIAL NUMBER : 13/251,712 EXAMINER : Eric L. Yen
FILING DATE : October 3, 2011 ART UNIT : 2626
FOR : SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

RESPONSE TO RESTRICTION REQUIREMENT

Mail Stop Amendment

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

Dear Sir:

In response to the Restriction Requirement mailed **December 2, 2011**, and in no way acquiescing to the propriety associated with the allegations set forth therein, Applicants hereby elect the species in claims 15-26 to be prosecuted on the merits. Applicants make this election without traverse.

Applicants believe that no extensions of time or other fees are due beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time or other fees are determined to be due, the Director is hereby authorized to charge the same to our Deposit Account No. 033975 (**Ref. No. 090611-0399090**).

Date: **December 19, 2011**

Respectfully submitted,

By:



Syed Jafar Ali
Registration No. 58,780

PILLSBURY WINTHROP SHAW PITTMAN LLP
P.O. Box 10500
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136
909 7590 01/19/2012 Pillsbury Winthrop Shaw Pittman, LLP (NV) PO Box 10500 McLean, VA 22102			EXAMINER YEN, ERIC L	
			ART UNIT 2626	PAPER NUMBER
			NOTIFICATION DATE 01/19/2012	DELIVERY MODE 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):

docket_ip@pillsburylaw.com
margaret.drosos@pillsburylaw.com

Office Action Summary	Application No. 13/251,712	Applicant(s) BALDWIN ET AL.	
	Examiner ERIC YEN	Art Unit 2626	

-- 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 19 December 2011.
- 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) 1-26 is/are pending in the application.
5a) Of the above claim(s) 1-14 is/are withdrawn from consideration.
- 6) ☐ Claim(s) _____ is/are allowed.
- 7) ☒ Claim(s) 15-26 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) | 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) ☐ Notice of Informal Patent Application |
| 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) ☐ Other: _____ |

DETAILED ACTION

Election/Restrictions

1. Applicant's election without traverse of claims 15-26 in the reply filed on 12/19/11 is acknowledged.

Claim Rejections - 35 USC § 103

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

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

3. Claims 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kargman (US 2005/0015256), in view of Millett et al. (US 2007/0073544), hereafter Millett.

As per Claims 15, 21, Kargman teaches/suggests a method (and corresponding system claim 21) for providing a cooperative conversational voice user interface, comprising: receiving an utterance at a voice input device during a current conversation ("customer repeatedly orders... initial or supplemental prompt... individually tailored", paragraph 50; where the consistent ordering of a particular item is based on information shared between the user and system [i.e. what does the customer frequently order] to advance the mutual goal of taking down the customer's food order [see applicant's interpretation of "cooperative" in Specification, paragraph 2]; "calls to place an order",

Art Unit: 2626

paragraph 50; “speaking the word ‘pizza”, paragraph 44; “statistically... mushroom... shrimp”, paragraph 48; speaking is uttering an input)

classifying, at a conversational speech engine, the current conversation or the utterance received during the current conversation into a conversation type (“order history”, paragraph 50; “mushroom... shrimp”, paragraph 48; “whether they wish to order ‘pizza’”, paragraph 44; speaking “pizza”, “drinks”, or “side items” classifies the conversation as one about pizza, drinks, or side items)

establishing an intended meaning associated with the utterance based on the conversation type associated with the current conversation or the utterance (“prior orders”, paragraph 50; “speaking the word ‘pizza”, paragraph 44; “statistically... mushroom... shrimp”, paragraph 47-48; determining that a user spoke a particular word among mushroom/shrimp, for example, determines that the user meant one ingredient and not the other, and Kargman teaches the statistical information determining mushroom and not shrimp is based on knowing that people ordering pizza [i.e. that the conversation type is one ordering pizza] usually say mushroom)

generating an adapted response to the utterance based on the intended meaning associated with the utterance and the conversation type (“speak the order back... for their confirmation”, paragraph 49; where speaking the order back is a system response and depends on what the system interpreted the order to be [determined intended meaning], and it is obvious to make responses grammatically correct so as not to sound awkward to the user. One of ordinary skill in the art would at least make this inference

based on "mushroom" and "shrimp" having different plural forms [e.g. "was that a pizza with mushrooms?" or "was that a pizza with shrimp?"]).

Kargman fails to teach where the response is grammatically or syntactically adapted.

Millett teaches/suggests where the response is grammatically or syntactically adapted ("spoken prompts contain both text and numeric... numeric value may be used to play grammatically correct prompts", paragraph 8; "placed in the grammatically correct order... make sense to a telephone user listening", paragraph 3; "grammatically correct for the numeric value contained in the prompt", Abstract; where Millett teaches that a prompt is grammatically tailored for words in the response, and the idea of making a prompt make sense to a listener, which when applied to Kargman provides the same advantage [i.e. that the system makes sense])

Therefore, it would have been obvious to one of ordinary skill in the art at the time of invention to modify Kargman to include the teaching of Millett of where the response is grammatically or syntactically adapted, in order to ensure that computer responses make sense to a user listening to it, as described by Millett (paragraph 3).

As per Claim 16, 22, Kargman teaches determining a goal associated with the current conversation or the utterance received during the current conversation ("order history", paragraph 50; "mushroom... shrimp", paragraph 48; "whether they wish to order 'pizza'", paragraph 44; "speak the order back... for their confirmation", paragraph

Art Unit: 2626

49; speaking “pizza”, “drinks”, or “side items” determines that the goal is to order one of those food items)

determining roles associated with the conversational speech engine and a user that spoke the utterance based on the goal associated with the current conversation or the utterance received during the current conversation (“order history”, paragraph 50; “mushroom... shrimp”, paragraph 48; “whether they wish to order ‘pizza’”, paragraph 44; “speak the order back... for their confirmation”, paragraph 49; determining that the system should receive and process an order determines the role of the user as the person who should speak what the user desires and the system as the one to process the order after understanding the speech from the user)

determining an information allocation among the conversational speech engine and the user that spoke the utterance based on the determined goal and the determined roles, wherein the conversation type associated with the current conversation or the utterance comprises a query conversation, a didactic conversation, or an exploratory conversation depending on the determined goal, the determined roles, and the determined information allocation (“order history”, paragraph 50; “mushroom... shrimp”, paragraph 48; “whether they wish to order ‘pizza’”, paragraph 44; “confirmation”, paragraph 49; where processing an order allocates the desired information to be provided to the user [since obviously the user knows what he/she wants] and the system has all of the possible orders that could be made, and the conversation described in Kargman is a query conversation where the user is asking for a particular pizza order, and as claimed “depending on the determined goal...information allocation”

need not apply to all three of the conversation types [i.e. it can be interpreted such that it only applies to exploratory]. Alternatively, the confirmation)

As per Claim 17, 23, Kargman teaches wherein an adaptive response builder adapts the response to influence a subsequent utterance expected during the current conversation and move the conversation forward based on the goal associated with the conversation or the utterance received during the conversation (“speak the order back... for their confirmation”, paragraph 49; where speaking confirmation prompts influences the user to either confirm or deny the confirmation and proceed in ordering the user’s desired food).

Kargman fails to teach where the response is grammatically or syntactically adapted.

Millett teaches/suggests where the response is grammatically or syntactically adapted (“spoken prompts contain both text and numeric... numeric value may be used to play grammatically correct prompts”, paragraph 8; “placed in the grammatically correct order... make sense to a telephone user listening”, paragraph 3; “grammatically correct for the numeric value contained in the prompt”, Abstract; where Millett teaches that a prompt is grammatically tailored for words in the response, and the idea of making a prompt make sense to a listener, which when applied to Kargman provides the same advantage [i.e. that the system makes sense])

Therefore, it would have been obvious to one of ordinary skill in the art at the time of invention to modify Kargman to include the teaching of Millett of where the

response is grammatically or syntactically adapted, in order to ensure that computer responses make sense to a user listening to it, as described by Millett (paragraph 3).

As per Claim 18, 24, Kargman teaches wherein the conversation type comprises a query conversation if the current conversation or the utterance has a goal to gather discrete information to perform a discrete task, a didactic conversation if the current conversation or the utterance has a goal to gather related information, or an exploratory conversation if the current conversation or the utterance has no specific goal ("order history", paragraph 50; "mushroom... shrimp", paragraph 48; "whether they wish to order 'pizza'", paragraph 44; "speak the order back... for their confirmation", paragraph 49; applicant does not claim where the system first makes all of the determinations of "if" the conversation has a particular characteristic and using the satisfying of the "if" condition to make a determination that the conversation type is one of a set consisting of query/didactic/exploratory, and so as long as the prior art teaches a conversation necessarily sharing the characteristics of one of the "if" statements, one of the conversation types in the claim limitation is met [i.e. applicant is claiming characteristics of a conversation as opposed to characteristic determinations by the system for a particular classification purpose]; where asking the user for confirmation or what the user is ordering queries the user for the toppings and sizes of the pizza to be ordered [i.e. a discrete task], which is one of the recited types of conversations in the claim).

As per Claim 19, 25, Kargman teaches wherein the conversation type comprises a query conversation if a user that spoke the utterance has a leader role to control the current conversation, a didactic conversation if the user that spoke the utterance has a supporter role to provide information that the conversational speech engine requests during the current conversation, or an exploratory conversation if the user that spoke the utterance has both the leader and the supporter role ("order history", paragraph 50; "mushroom... shrimp", paragraph 48; "whether they wish to order 'pizza'", paragraph 44; "speak the order back... for their confirmation", paragraph 49; applicant does not claim where the system first makes all of the determinations of "if" the conversation has a particular characteristic and using the satisfying of the "if" condition to make a determination that the conversation type is one of a set consisting of query/didactic/exploratory, and so as long as the prior art teaches a conversation necessarily sharing the characteristics of one of the "if" statements, one of the conversation types in the claim limitation is met [i.e. applicant is claiming characteristics of a conversation as opposed to characteristic determinations by the system for a particular classification purpose]; where in the conversation described in Kargman, the user "leads" the system by telling the system what to order, and therefore the conversation is a query conversation as described in claim 19).

As per Claim 20, 26, Kargman teaches wherein the conversation type comprises a query conversation or a didactic conversation if a user that spoke the utterance has a lower information allocation than the conversational speech engine or a didactic

Art Unit: 2626

conversation if the user and the conversational speech engine have an equal or alternating information allocation (“order history”, paragraph 50; “mushroom... shrimp”, paragraph 48; “whether they wish to order ‘pizza’”, paragraph 44; “speak the order back... for their confirmation”, paragraph 49; applicant does not claim where the system first makes all of the determinations of “if” the conversation has a particular characteristic and using the satisfying of the “if” condition to make a determination that the conversation type is one of a set consisting of query/didactic/exploratory, and so as long as the prior art teaches a conversation necessarily sharing the characteristics of one of the “if” statements, one of the conversation types in the claim limitation is met [i.e. applicant is claiming characteristics of a conversation as opposed to characteristic determinations by the system for a particular classification purpose]; where the user only has knowledge of what he wants to order and the system knows all possible orders that can be made, and therefore the interaction in Kargman meets the characteristics of a query conversation).

Double Patenting

4. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct

from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

5. Claims 15-7, 21-23, are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1, 5, 8, 9, of U.S. Patent No. 8,073,681. Although the conflicting claims are not identical, they are not patentably distinct from each other because they contain similar limitations.

6. Additionally, while Claims 1-14 are withdrawn from consideration and not rejected under this section, they are also eligible for rejection under double patenting for also reciting limitations described in US 8,073,681.

As per Claims 15, 21, Claims 1, 5, 8, of US 8,073,681 recite all of the limitations, including receiving an utterance (1st limitation), determining an intended meaning (4th limitation), classifying the conversation into a particular type (Claim 5), and grammatical/syntactic adaptation based on intended meaning and conversation type (Claim 1, last limitation, Claim 8).

As per Claims 16, 22, Claim 5 of US 8,073,681 recite similar limitations.

As per Claims 17, 23, Claim 9 recites a similar limitation.

Conclusion

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. See PTO-892.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to ERIC YEN whose telephone number is (571)272-4249. The examiner can normally be reached on M-F 7:30-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on 571-272-7602. 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.

EY 1/15/12
/Eric Yen/
Primary Examiner, Art Unit 2626

Notice of References Cited	Application/Control No. 13/251,712		Applicant(s)/Patent Under Reexamination BALDWIN ET AL.	
	Examiner ERIC YEN		Art Unit 2626	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2005/0015256	01-2005	Kargman, James B.	704/272
*	B	US-2007/0073544	03-2007	Millett et al.	704/277
*	C	US-7,676,369	03-2010	Fujimoto et al.	704/270
*	D	US-5,208,748	05-1993	Flores et al.	704/1
*	E	US-6,233,561	05-2001	Junqua et al.	704/277
*	F	US-2005/0143994	06-2005	Mori et al.	704/235
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

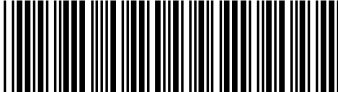
FOREIGN PATENT DOCUMENTS

*		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.

<i>Index of Claims</i> 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2626

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant			☐ CPA			☐ T.D.			☐ R.1.47		
CLAIM		DATE									
Final	Original	01/15/2012									
	1	N									
	2	N									
	3	N									
	4	N									
	5	N									
	6	N									
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	23	✓									
	24	✓									
	25	✓									
	26	✓									

<i>Search Notes</i> 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2626

SEARCHED			
Class	Subclass	Date	Examiner
704	270-275	1/15/12	EY

SEARCH NOTES		
Search Notes	Date	Examiner
EAST Search (attached)	1/15/12	EY

INTERFERENCE SEARCH			
Class	Subclass	Date	Examiner

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EAST Search History**EAST Search History (Prior Art)**

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	1	"20050015256".pn.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 11:43
L2	0	(grammatically near5 correct\$2 near5 intended near5 prompt\$4) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 11:56
L3	18	(grammatically with correct\$2 with prompt\$4) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 11:56
L4	21	(determin\$4 near5 conversation\$1 near5 type\$1) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:24
L5	0	(determin\$4 near5 conversation\$1 near5 leader\$1) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:26
L6	1	(determin\$4 near5 conversation\$1 near5 lead\$4) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:26
L7	0	(determin\$4 near5 conversation\$1 near5 dominant\$2) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:26
L8	2	(determin\$4 near5 conversation\$1 near5 role\$1) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:27
L9	3	(determin\$4 near5 dialog\$3 near5 role\$1) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:27
L10	0	(determin\$4 near5 dialog\$3 near5 leader\$1) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:28
L11	1	(determin\$4 near5 dialog\$3 near5 dominant\$1) and "704".clas.	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:28
L12	10	11/580926	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:47
L13	9	11/580926 and didactic	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/01/15: 12:56

1/ 15/ 2012 1:08:36 PM**C:\Users\eyen\Documents\EAST\Workspaces\13251712.wsp**



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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090

CONFIRMATION NO. 2136

909

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PUBLICATION NOTICE



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Title:SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

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Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 1 of 15

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE PATENT APPLICATION OF:	Larry BALDWIN <i>et al.</i>
SERIAL NO.:	13/251,712
FILING DATE:	October 3, 2011
ATTORNEY DOCKET NO.:	090611-0399090
CONFIRMATION NO.:	2136
EXAMINER:	Eric L. YEN
ART UNIT:	2626
FOR:	System and Method for a Cooperative Conversational Voice User Interface

**RESPONSE TO NON-FINAL
OFFICE ACTION
mailed
19 January 2012**

MAIL STOP AMENDMENT

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

Dear Sir:

In response to the Non-Final Office Action mailed **January 19, 2012**, please amend the above- identified application as follows:

Amendments to the Claims begin on page 2 of this paper.

Remarks begin on page 12 of this paper.

It is not believed that extensions of time or fees for net addition of claims are required beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time are necessary to prevent abandonment of this application, then such extensions of time are hereby petitioned for under 37 C.F.R. § 1.136(a), and any fees required therefore (including fees for net addition of claims) are hereby authorized to be charged to Deposit Account No. 033975 (**Ref. No. 090611-0399090**).

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 2 of 15

This listing of claims will replace all prior versions and listings of claims in the Application.

LISTING OF CLAIMS:

1. **(Withdrawn)** A method for providing a cooperative conversational voice user interface, comprising:
 - receiving an utterance at a voice input device during a current conversation;
 - populating a short-term context stack with information about the utterance received during the current conversation to accumulate short-term shared knowledge about the current conversation in the short-term context stack;
 - determining a context associated with the utterance at a conversational speech engine, wherein the conversational speech engine determines the context associated with the utterance from the short-term shared knowledge accumulated in the short-term context stack;
 - establishing an intended meaning that the utterance has within the determined context, wherein the conversational speech engine establishes the intended meaning within the determined context to establish an intent that a user had in speaking one or more words recognized in the utterance; and
 - expiring the information about the utterance from the short-term context stack after a psychologically appropriate amount of time.
2. **(Withdrawn)** The method recited in claim 1, further comprising:
 - updating one or more long-term profiles to include information about the utterance received during the current conversation to accumulate long-term shared knowledge about one or more past conversations; and
 - updating the one or more long-term profiles to include data in the information expired from the short term context stack having long-term significance to accumulate the long-term shared knowledge about the one or more past conversations.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 3 of 15

3. **(Withdrawn)** The method recited in claim 2, wherein the conversational speech engine further determines the context associated with the utterance from the accumulated long-term shared knowledge about the one or more past conversations.

4. **(Withdrawn)** The method recited in claim 2, further comprising managing a competition among multiple domain agents that compete to determine a most appropriate domain associated with the utterance, wherein managing the competition among the multiple domain agents includes:

assigning responsibility to establish or infer further contexts and update the short-term shared knowledge and the long-term shared knowledge to a winning domain agent among the multiple domain agents associated with the managed competition; or

generating an adaptive response that requests information to disambiguate the winning domain agent in response to a deadlock between the multiple domain agents associated with the managed competition, wherein one or more subsequent multi-modal inputs provide the information to disambiguate the winning domain agent.

5. **(Withdrawn)** The method recited in claim 2, wherein the conversational speech engine uses the short-term shared knowledge accumulated in the short-term context stack and the accumulated long-term shared knowledge about the one or more past conversations to establish the intended meaning that the utterance has within the determined context.

6. **(Withdrawn)** The method recited in claim 2, further comprising:

identifying a compound request contained in the utterance based on the established intent that the user had in speaking the one or more words recognized in the utterance;

decomposing the compound request into multiple sub-tasks and inferring one or more additional tasks from the compound request based on the short-term shared knowledge accumulated in the short-term context stack and the accumulated long-term shared knowledge about the one or more past conversations; and

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 4 of 15

executing the multiple sub-tasks decomposed from the compound request and the one or more additional tasks inferred from the compound request to process the utterance.

7. **(Withdrawn)** The method recited in claim 1, wherein establishing the intended meaning that the utterance has within the determined context includes:

generating an N-best set that includes multiple possible hypotheses about the intent that the user had in speaking one or more words recognized in the utterance, wherein the intended meaning comprises one of the multiple possible hypothesis in the N-best set having a highest confidence level;

removing the intended meaning from the multiple possible hypotheses in the N-best set in response to determining that the possible hypothesis having the highest confidence level was not the intended meaning; and

selecting one of the multiple possible hypothesis remaining in the N-best set having a next highest confidence level to be the intended meaning.

8. **(Withdrawn)** A system for providing a cooperative conversational voice user interface, comprising:

a voice input device configured to receive an utterance during a current conversation;

a conversational speech engine coupled to the voice input device, wherein the conversational speech engine includes one or more processors configured to:

populate a short-term context stack with information about the utterance received during the current conversation to accumulate short-term shared knowledge about the current conversation in the short-term context stack;

determine a context associated with the utterance from the short-term shared knowledge accumulated in the short-term context stack;

establish an intended meaning that the utterance has within the determined context to establish an intent that a user had in speaking one or more words recognized in the utterance; and

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 5 of 15

expire the information about the utterance from the short-term context stack after a psychologically appropriate amount of time.

9. **(Withdrawn)** The system recited in claim 8, wherein the one or more processors associated with the conversational speech engine are further configured to:

update one or more long-term profiles to include information about the utterance received during the current conversation to accumulate long-term shared knowledge about one or more past conversations; and

update the one or more long-term profiles to include data in the information expired from the short term context stack having long-term significance to accumulate the long-term shared knowledge about the one or more past conversations.

10. **(Withdrawn)** The system recited in claim 9, wherein the one or more processors associated with the conversational speech engine are further configured to determine the context associated with the utterance from the accumulated long-term shared knowledge about the one or more past conversations.

11. **(Withdrawn)** The system recited in claim 9, wherein the one or more processors associated with the conversational speech engine are further configured to:

assign responsibility to establish or infer further contexts and update the short-term shared knowledge and the long-term shared knowledge to a winning domain agent among multiple domain agents that compete to determine a most appropriate domain associated with the utterance; or

generate an adaptive response to request information to disambiguate the winning domain agent in response to a deadlock between the multiple domain agents that compete to determine the most appropriate domain, wherein one or more subsequent multi-modal inputs provide the information to disambiguate the winning domain agent.

12. **(Withdrawn)** The system recited in claim 9, wherein the one or more processors associated with the conversational speech engine are further configured to use the short-term shared knowledge accumulated in the short-term context stack and the accumulated

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 6 of 15

long-term shared knowledge about the one or more past conversations to establish the intended meaning that the utterance has within the determined context.

13. **(Withdrawn)** The system recited in claim 8, wherein the one or more processors associated with the conversational speech engine are further configured to:

identify a compound request contained in the utterance based on the established intent that the user had in speaking the one or more words recognized in the utterance;

decompose the compound request into multiple sub-tasks and inferring one or more additional tasks from the compound request based on the short-term shared knowledge accumulated in the short-term context stack and the accumulated long-term shared knowledge about the one or more past conversations; and

execute the multiple sub-tasks decomposed from the compound request and the one or more additional tasks inferred from the compound request to process the utterance.

14. **(Withdrawn)** The system recited in claim 8, wherein to establish the intended meaning that the utterance has within the determined context, the one or more processors associated with the conversational speech engine are further configured to:

generate an N-best set that includes multiple possible hypotheses about the intent that the user had in speaking one or more words recognized in the utterance, wherein the intended meaning comprises one of the multiple possible hypothesis in the N-best set having a highest confidence level;

remove the intended meaning from the multiple possible hypotheses in the N-best set in response to determining that the possible hypothesis having the highest confidence level was not the intended meaning; and

select one of the multiple possible hypothesis remaining in the N-best set having a next highest confidence level to be the intended meaning.

15. **(Currently Amended)** A method ~~for~~ of providing a ~~cooperative conversational~~ voice user interface, comprising:

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 7 of 15

receiving [[an]] a natural language utterance [[at]] from a voice input device during a current conversation between the voice user interface and a user;

~~determining~~ classifying, at a conversational speech engine, a conversation type of the ~~current~~ conversation or of the natural language utterance received during the ~~current~~ conversation, wherein determining the conversation type includes determining a conversational goal of the conversation into a conversation type;

~~establishing an intended meaning associated with the utterance based on the conversation type associated with the current conversation or the utterance; and~~

generating a grammatically or syntactically adapted response to the natural language utterance based on the conversation type ~~intended meaning associated with the utterance and the conversation type.~~

16. (Currently Amended) The method recited in claim 15, further comprising: wherein determining the conversation type further comprises determining whether the user has a leader role in the conversation or has a supporter role in the conversation, and wherein generating the grammatically or syntactically adapted response comprises generating, if the user has a supporter role in the conversation, a response that limits a user's future input to interjecting queries for clarification

~~determining a goal associated with the current conversation or the utterance received during the current conversation;~~

~~determining roles associated with the conversational speech engine and a user that spoke the utterance based on the goal associated with the current conversation or the utterance received during the current conversation; and~~

~~determining an information allocation among the conversational speech engine and the user that spoke the utterance based on the determined goal and the determined roles, wherein the conversation type associated with the current conversation or the utterance comprises a query conversation, a didactic conversation, or an exploratory conversation depending on the determined goal, the determined roles, and the determined information allocation.~~

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 8 of 15

17. **(Currently Amended)** The method recited in claim 16, wherein an adaptive response builder grammatically or syntactically adapts the response to influence a subsequent natural language utterance expected during the ~~current~~ conversation and move the ~~current~~ conversation forward based on the conversational goal associated with the ~~current~~ conversation or with the natural language utterance received during the ~~current~~ conversation.

18. **(Currently Amended)** The method recited in claim 15, wherein the conversation type ~~comprises a~~ is determined as a query conversation if the ~~current~~ conversation or the natural language utterance has a conversational goal to gather discrete information or perform a discrete task, is determined as a didactic conversation if the ~~current~~ conversation or the natural language utterance has a conversational goal to gather related information, or is determined as an exploratory conversation if the ~~current~~ conversation or the natural language utterance has no specific goal.

19. **(Currently Amended)** The method recited in claim 15, wherein determining the conversation type is based on a role of the user, wherein the conversation type ~~comprises is determined as~~ a query conversation if a user that spoke the natural language utterance has a leader role to control the ~~current~~ conversation, is determined as a didactic conversation if the user that spoke the natural language utterance has a supporter role to provide information that the conversational speech engine requests during the ~~current~~ conversation, or is determined as an exploratory conversation if the user that spoke the natural language utterance has both the leader role and the supporter role.

20. **(Currently Amended)** The method recited in claim 15, wherein determining the conversation type is based on an allocation of information between the user and the conversational speech engine, wherein the conversation type ~~comprises is determined to be~~ a query conversation or a didactic conversation if a user that spoke the natural language utterance has a lower information allocation than the conversational speech engine, or is

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 9 of 15

determined as a didactic conversation if the user and the conversational speech engine have an equal or alternating information allocation.

21. **(Currently Amended)** A system for providing a ~~cooperative~~ conversational voice user interface, comprising:

~~a voice input device configured to receive an utterance during a current conversation;~~

a conversational speech engine ~~coupled to the voice input device~~ configured to receive a natural language utterance from a voice input device during a conversation between the voice input device and a user, wherein the conversational speech engine includes one or more processors configured to:

~~classify the current conversation or the utterance received during the current conversation into a~~ determine a conversation type of the conversation or the natural language utterance received during the conversation, wherein the one or more processors are configured to determine the conversation type by determining a conversational goal of the conversation; and

~~establish an intended meaning associated with the utterance based on the conversation type associated with the current conversation or the utterance; and~~
an adaptive response builder configured to generate a grammatically or syntactically adapted response to the natural language utterance based on the conversation type ~~intended meaning associated with the utterance and the conversation type.~~

22. **(Currently Amended)** The system recited in claim 21, wherein ~~to classify the current conversation or the utterance received during the current conversation into a conversation type,~~ the one or more processors associated with the conversational speech engine are further configured to [[:]]

determine the conversation type by determining whether the user has a leader role in the conversation or has a supporter role in the conversation, and wherein the adaptive response builder is configured to generate the grammatically or syntactically adapted

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 10 of 15

response by generating, if the user has a supporter role in the conversation, a response that limits a user's future input to interjecting queries for clarification

~~determine a goal associated with the current conversation or the utterance received during the current conversation;~~

~~determine roles associated with the conversational speech engine and a user that spoke the utterance based on the goal associated with the current conversation or the utterance received during the current conversation; and~~

~~determine an information allocation among the conversational speech engine and the user that spoke the utterance based on the determined goal and the determined roles, wherein the conversation type associated with the current conversation or the utterance comprises a query conversation, a didactic conversation, or an exploratory conversation depending on the determined goal, the determined roles, and the determined information allocation.~~

23. **(Currently Amended)** The system recited in claim 22, wherein the adaptive response builder is configured to grammatically or syntactically adapt the response to:

influence a subsequent natural language utterance expected during the ~~current~~ conversation; and

move the ~~current~~ conversation forward based on the conversational goal associated with the ~~current~~ conversation or with the natural language utterance received during the ~~current~~ conversation.

24. **(Currently Amended)** The system recited in claim 21, wherein the conversation type ~~comprises a~~ is determined to be a query conversation if the ~~current~~ conversation or the natural language utterance has a conversational goal to gather discrete information or perform a discrete task, is determined to be a didactic conversation if the ~~current~~ conversation or the natural language utterance has a conversational goal to gather related information, or is determined to be an exploratory conversation if the ~~current~~ conversation or the natural language utterance has no specific goal.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 11 of 15

25. **(Currently Amended)** The system recited in claim 21, wherein the one or more processors associated with the conversational speech engine is configured to determine the conversation type based on a role of the user, wherein the conversation type comprises is determined to be a query conversation if a user that spoke the natural language utterance has a leader role to control the ~~current~~ conversation, is determined to be a didactic conversation if the user that spoke the natural language utterance has a supporter role to provide information that the conversational speech engine requests during the ~~current~~ conversation, or is determined to be an exploratory conversation if the user that spoke the natural language utterance has both the leader role and the supporter role.

26. **(Currently Amended)** The system recited in claim 21, wherein the one or more processors associated with the conversational speech engine is configured to determine the conversation type based on an allocation of information between the user and the conversational speech engine, wherein the conversation type comprises is determined to be a query conversation or a didactic conversation if a user that spoke the natural language utterance has a lower information allocation than the conversational speech engine or is determined to be a didactic conversation if the user and the conversational speech engine have an equal or alternating information allocation.

27. **(New)** The method recited in claim 16, wherein determining the conversation type further comprises determining an allocation of information between the user and the conversational speech engine.

28. **(New)** The method recited in claim 16, wherein generating the grammatically or syntactically adapted response comprises generating, if the conversation type is a query conversation, a response that only provides information requested by the natural language utterance, and generating, if the conversation type is a didactic conversation, a response that controls the conversation and limits a user's future input to a request for clarification.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 12 of 15

REMARKS

In response to the Non-Final Office Action mailed **January 19, 2012** (hereinafter "Office Action"), claims 15-26 have each been amended. Claims 1-14 are withdrawn from consideration. Claims 27 and 28 has been newly added. Therefore, claims 1-28 are pending, of which claims 15-28 are under consideration. Support for the instant amendments is provided throughout the as-filed Specification. Thus, no new matter has been added. In view of the foregoing amendments and following comments, allowance of all the claims under consideration in the application is respectfully requested.

INFORMATION DISCLOSURE STATEMENT

Applicants are submitting herewith a Supplemental Information Disclosure Statement and respectfully request that the Examiner consider the cited references and provide a signed copy of the Form PTO-1449 for this submission with the next Office Action.

NON-STATUTORY DOUBLE PATENTING REJECTION

Claims 15-17, and 21-23 stand rejected under the judicially created doctrine of obviousness-type double patenting as allegedly being unpatentable over claims 1, 5, 8, and 9 of U.S. Patent No. 8,073,681 to Baldwin *et al.* (hereinafter "Baldwin") [Office Action, at page 10]. The Examiner further alleges that "while Claims 1-14 are withdrawn from consideration and not rejected under [the double patenting rejection] section, they are also eligible for rejection under double patenting for also reciting limitations described in US 8,073,681." [Office Action, at page 10].

Applicants disagree with the propriety of the rejections set forth by the Examiner. However, *solely* in an effort to expedite prosecution, Applicants will consider filing a terminal disclaimer once the remaining claim rejections have been withdrawn.

Applicants further note that filing a Terminal Disclaimer to obviate a rejection based on non-statutory double patenting does not constitute an admission of the propriety of the rejection. See *Quad Environmental Technologies Corp. v. Union Sanitary District*, 946 F.2d 870 (Fed. Cir. 1991) (indicating that "filing of a terminal disclaimer simply serves the

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 13 of 15

statutory function of removing the rejection of double patenting, and raises neither a presumption nor estoppel on the merits of the rejection.”).

REJECTIONS UNDER 35 U.S.C. § 103

Claims 15-26 stand rejected under 35 U.S.C. § 103(a) as allegedly being unpatentable over U.S. Patent Application Publication No. 2005/0015256 by Kargman (hereinafter “Kargman”) in view of U.S. Patent Application Publication No. 2007/0073544 by Millett *et al.* (hereinafter “Millett”) [Office Action, at page 2].

Applicants traverse the rejections under 35 U.S.C. § 103(a) for *at least* the reason that the Examiner has failed to establish a *prima facie* case of obviousness. In particular, assuming *arguendo* that it were deemed legally proper to modify Kargman to include the alleged teachings of Millett (which Applicants do not concede), Kargman and Millett, either alone or in combination, do not teach or suggest each and every feature of at least independent claims 15 and 21.

For example, independent claim 15 recites “generating a grammatically or syntactically adapted response to [an] utterance based on the conversation type.” Independent claim 21 recites a similar feature. The Examiner concedes that “Kargman fails to teach where the response is grammatically or syntactically adapted,” [Office Action, at page 4]. The Examiner alleges, however, that Millett teaches or suggests where the response is grammatically or syntactically adapted. Millett relates to a “grammatically correct resource string resource file associated with [a] numeric value.” Millett, at ¶ 16. “For example, if the value of” a variable “KEY is ‘1’, then the associated resource string” corresponds to “a singular value (e.g., ‘you have 1 new message.’).” Millett, at ¶ 16. “If the value of KEY is ‘5’, then the associated resource string” would correspond with a “plural value (e.g., ‘you have 5 new messages’).” Millett, at ¶ 16. “Alternatively, if the value of KEY is ‘0’, then the associated resource string” would correspond to a “zero or null value (e.g., ‘You have no new messages’).” Millett, at ¶ 16. Millett thus relates to determining whether a variable in a resource string should be in a singular or in a plural form. Although Millett recites the “grammatically correct resource string,” that resource string is in no way

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 14 of 15

related to (nor based on) a conversation type. Even the Examiner relies on Millett merely for an alleged teaching of a grammatically or syntactically adapted response, and does not indicate where or how Millett teaches the adapted response to be based on the conversation type or conversational goal. [Office Action, at page 4]. That is, the Examiner alleges only that "it would have been obvious . . . to modify Kargman to include the teaching of Millett of where the response is grammatically or syntactically adapted," [Office Action, at page 4], and does not allege or discuss how it would be obvious for the grammatically or syntactically adapted response to be based on a conversational goal or conversation type. Thus, Kargman and Millett, either alone or in combination, fail to teach or suggest each and every feature of independent claims 15 and 21.

For at least the foregoing reason, the rejection of independent claims 15 and 21 is legally improper and should be withdrawn.

Claims 16-20 and 22-26 each depend from and add features to one of independent claims 15 and 21. Thus, for at least the reasons discussed above with respect to claims 15 and 21, the rejections of claims 16-20 and 22-26 are likewise legally improper and should be withdrawn.

New Claims 27 and 28

Dependent claims 27 and 28 depend from and add feature to independent claim 15. For at least the reasons discussed above with respect to claim 15, claims 27 and 28 are allowable.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 15 of 15

CONCLUSION

Having addressed each of the foregoing rejections, it is respectfully submitted that a full and complete response has been made to the outstanding Office Action and, as such, the application is in condition for allowance. Notice to that effect is respectfully requested.

If the Examiner believes, for any reason, that personal communication will expedite prosecution of this application, the Examiner is invited to telephone the undersigned at the number provided.

Respectfully submitted,

Date: July 19, 2012

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Electronic Patent Application Fee Transmittal				
Application Number:		13251712		
Filing Date:		03-Oct-2011		
Title of Invention:		SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		
First Named Inventor/Applicant Name:		Larry BALDWIN		
Filer:		Chen Li/Jennifer Hake		
Attorney Docket Number:		090611-0399090		
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	2	30	60
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	635	635
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
Total in USD (\$)				875

Electronic Acknowledgement Receipt

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Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	909
Filer:	Chen Li/Jennifer Hake
Filer Authorized By:	Chen Li
Attorney Docket Number:	090611-0399090
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1	Extension of Time	0399090_Extension.pdf	91520	no	1
			be7bf75c3bd327be09e7cf4854fec49a2a31c6a3		
Warnings:					
Information:					
2	Transmittal Letter	0399090_IDSTransmittal.pdf	896718	no	2
			63dfd517317f6e9bc9458de5bdf8a8fd773f1ed1		
Warnings:					
Information:					
3	Information Disclosure Statement (IDS) Form (SB08)	0399090_IDSPTO1449.pdf	773355	no	4
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4		0399090_Response.pdf	849336	yes	15
			7167354d4687a4f7772e9d2275b17d9a2df49344		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Amendment/Req. Reconsideration-After Non-Final Reject		1	1	
	Claims		2	11	
	Applicant Arguments/Remarks Made in an Amendment		12	15	
Warnings:					
Information:					
5	Fee Worksheet (SB06)	fee-info.pdf	33987	no	2
			f963227026fce4d6c9eadcaddc11f20d7a9246d0		
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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.

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.

PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)		Docket Number (Optional) 090611-0399090	
Application Number 13/251712		Filed October 3, 2011	
For SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE			
Art Unit 2626		Examiner YEN, Eric L.	

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):

	<u>Fee</u>	<u>Small Entity Fee</u>	
☐ One month (37 CFR 1.17(a)(1))	\$150	\$75	\$ _____
☐ Two months (37 CFR 1.17(a)(2))	\$560	\$280	\$ _____
☒ Three months (37 CFR 1.17(a)(3))	\$1270	\$635	\$ _____ 635.00
☐ Four months (37 CFR 1.17(a)(4))	\$1980	\$990	\$ _____
☐ Five months (37 CFR 1.17(a)(5))	\$2690	\$1345	\$ _____

☐ 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.

☒ The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number 033975.

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

I am the ☐ applicant/inventor.

☐ assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed (Form PTO/SB/96).

☒ attorney or agent of record. Registration Number 67448

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

/Chen LI/ _____
Signature

Chen LI _____
Typed or printed name

July 19, 2012 _____
Date

(703) 770-7898 _____
Telephone Number

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

☒ Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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

APPLICANTS : Larry BALDWIN *et al.* CONFIRMATION No.: 2136
SERIAL NUMBER : 13/251,712 EXAMINER: Eric L. Yen
FILING DATE : October 3, 2011 ART UNIT: 2626
FOR : SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER
INTERFACE

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

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

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98,
Applicants hereby make of record in the above-identified application the documents
listed on the attached Form PTO-1449.

Applicants reserve the right to establish the patentability of the claimed invention
over any of the information provided herewith, and/or to prove that this information may
not be prior art, and/or to prove that this information may not be enabling for the
teachings purportedly offered.

This Supplemental Information Disclosure Statement is being filed more than
three months after the filing date of a national application other than a continued
prosecution application under 37 C.F.R. § 1.53(d), or more than three months after the
date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international
application, and after the mailing date of the first Office Action on the merits, but before

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	13/251,712
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	October 3, 2011	2626

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1A	5,357,596	10/18/1994	Takebayashi <i>et al.</i>	395	2.84	
	1B	5,577,165	11/19/1996	Takebayashi <i>et al.</i>	395	2.84	
	1C	5,608,635	03/04/1997	Tamai	364	449.3	
	1D	5,740,256	04/14/1998	Castello Da Costa <i>et al.</i>	361	94.7	
	1E	5,748,974	05/05/1998	Johnson	395	759	
	1F	5,848,396	12/08/1998	Gerace	705	10	
	1G	5,960,397	09/28/1999	Rahim	704	244	
	1H	6,035,267	03/07/2000	Watanabe <i>et al.</i>	704	1	
	1I	6,067,513	05/23/2000	Ishimitsu	704	233	
	1J	6,188,982	02/13/2001	Chiang	704	256	
	1K	6,266,636	07/24/2001	Kosaka <i>et al.</i>	704	244	
	1L	6,275,231	08/14/2001	Obradovich	345	349	
	1M	6,362,748	03/26/2002	Huang	340	901	
	1N	6,434,529	08/13/2002	Walker <i>et al.</i>	704	275	
	1O	6,456,974	09/24/2002	Baker <i>et al.</i>	704	270.1	
	1P	6,510,417	01/21/2003	Woods <i>et al.</i>	704	275	
	1Q	6,560,590	05/06/2003	Shwe <i>et al.</i>	706	55	
	1R	6,591,239	07/08/2003	McCall <i>et al.</i>	704	275	
	1S	6,594,367	07/15/2003	Marash <i>et al.</i>	381	92	
	1T	6,633,846	10/14/2003	Bennett <i>et al.</i>	704	257	
	1U	6,754,485	06/22/2004	Obradovich <i>et al.</i>	455	414.1	
	1V	6,757,544	06/29/2004	Rangarajan <i>et al.</i>	455	456.1	
	1W	6,868,380	03/15/2005	Kroecker	704	240	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number		
				090611-0399090		13/251,712		
				Applicant(s)				
				Larry BALDWIN <i>et al.</i>				
				Filing Date		Group Art Unit		
Form PTO-1449				October 3, 2011		2626		
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	2A	6,877,001	04/05/2005	Wolf <i>et al.</i>	707	3		
	2B	6,910,003	06/21/2005	Arnold <i>et al.</i>	704	4		
	2C	6,934,756	08/23/2005	Maes	709	227		
	2D	6,959,276	10/25/2005	Droppo <i>et al.</i>	704	226		
	2E	6,968,311	11/22/2005	Knockeart <i>et al.</i>	704	270		
	2F	6,983,055	01/03/2006	Luo	381	313		
	2G	7,035,415	04/25/2006	Belt <i>et al.</i>	381	92		
	2H	7,043,425	05/09/2006	Pao	704	211		
	2I	7,069,220	06/27/2006	Coffman <i>et al.</i>	704	275		
	2J	7,072,834	07/04/2006	Zhou	704	244		
	2K	7,107,210	09/12/2006	Deng <i>et al.</i>	704	226		
	2L	7,110,951	09/19/2006	Lemelson <i>et al.</i>	704	270		
	2M	7,165,028	01/16/2007	Gong	704	233		
	2N	7,184,957	02/27/2007	Brookes <i>et al.</i>	704	246		
	2O	7,206,418	04/17/2007	Yang <i>et al.</i>	381	92		
	2P	7,207,011	04/17/2007	Mulvey <i>et al.</i>	715	812		
	2Q	7,305,381	12/04/2007	Poppink <i>et al.</i>	1	1		
	2R	7,328,155	02/05/2008	Endo <i>et al.</i>	704	251		
	2S	7,406,421	07/29/2008	Odinak <i>et al.</i>	704	275		
	2T	7,447,635	11/04/2008	Konopka <i>et al.</i>	704	275		
	2U	7,478,036	01/13/2009	Shen <i>et al.</i>	704	9		
	2V	7,516,076	04/07/2009	Walker <i>et al.</i>	704	275		
	2W	7,574,362	08/11/2009	Walker <i>et al.</i>	704	275		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number		
				090611-0399090		13/251,712		
				Applicant(s)				
				Larry BALDWIN <i>et al.</i>				
				Filing Date		Group Art Unit		
October 3, 2011				2626				
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	3A	7,577,244	08/18/2009	Taschereau	379	218.01		
	3B	7,606,708	10/20/2009	Hwang	704	257		
	3C	7,729,918	06/01/2010	Walker <i>et al.</i>	704	275		
	3D	7,729,920	06/01/2010	Chaar <i>et al.</i>	704	275		
	3E	7,902,969	03/08/2011	Obradovich	340	439		
	3F	7,949,537	05/24/2011	Walker <i>et al.</i>	704	275		
	3G	7,974,875	07/05/2011	Quilici <i>et al.</i>	705	14.4		
	3H	8,060,367	11/15/2011	Keaveney	704	247		
	3I	8,069,046	11/29/2011	Kennewick <i>et al.</i>	704	257		
	3J	8,073,681	12/06/2011	Baldwin <i>et al.</i>	704	9		
	3K	8,086,463	12/27/2011	Ativanichayaphong <i>et al.</i>	704	275		
	3L	8,112,275	02/07/2012	Kennewick <i>et al.</i>	704	240		
	3M	8,140,327	03/20/2012	Kennewick <i>et al.</i>	704	226		
	3N	8,140,335	03/20/2012	Kennewick <i>et al.</i>	704	257		
	3O	8,145,489	03/27/2012	Freeman <i>et al.</i>	704	257		
	3P	8,150,694	04/03/2012	Kennewick <i>et al.</i>	704	257		
	3Q	8,155,962	04/10/2012	Kennewick <i>et al.</i>	704	257		
	3R	8,195,468	06/05/2012	Weider <i>et al.</i>	704	275		
	3S	2002/0015500	02/07/2002	Belt <i>et al.</i>	381	66		
	3T	2002/0022927	02/21/2002	Lemelson <i>et al.</i>	701	301		
	3U	2002/0069071	06/06/2002	Knockeart <i>et al.</i>	704	275		
	3V	2002/0133402	09/19/2002	Faber <i>et al.</i>	705	14		
	3W	2002/0161646	10/31/2002	Gailey <i>et al.</i>	705	14		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								

EXAMINER

DATE CONSIDERED

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

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number	
				090611-0399090		13/251,712	
				Applicant(s)			
				Larry BALDWIN <i>et al.</i>			
				Filing Date		Group Art Unit	
Form PTO-1449				October 3, 2011		2626	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4A	2003/0016835	01/23/2003	Elko <i>et al.</i>	381	92	
	4B	2003/0110037	06/12/2003	Walker <i>et al.</i>	704	257	
	4C	2003/0115062	06/19/2003	Walker <i>et al.</i>	704	258	
	4D	2003/0204492	10/30/2003	Wolf <i>et al.</i>	707	3	
	4E	2003/0206640	11/06/2003	Malvar <i>et al.</i>	381	93	
	4F	2004/0098245	05/20/2004	Walker <i>et al.</i>	704	1	
	4G	2004/0205671	10/14/2004	Sukehiro <i>et al.</i>	715	532	
	4H	2005/0137877	06/23/2005	Oesterling <i>et al.</i>	704	275	
	4I	2007/0078708	04/05/2007	Yu <i>et al.</i>	705	14	
	4J	2007/0078709	04/05/2007	Rajaram	705	14	
	4K	2007/0162296	07/12/2007	Altberg <i>et al.</i>	705	1	
	4L	2008/0065386	03/13/2008	Cross <i>et al.</i>	704	270	
	4M	2008/0109285	05/08/2008	Reuther <i>et al.</i>	705	7	
	4N	2009/0067599	03/12/2009	Agarwal <i>et al.</i>	379	114.21	
	4O	2010/0185512	07/22/2010	Borger <i>et al.</i>	705	14.49	
	4P	2012/0101809	04/26/2012	Kennewick <i>et al.</i>	704	9	
	4Q	2012/0101810	04/26/2012	Kennewick <i>et al.</i>	704	9	
	4R	2012/0109753	05/03/2012	Kennewick <i>et al.</i>	705	14.58	
	4S	2012/0150636	06/14/2012	Freeman <i>et al.</i>	705	14.49	
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							

EXAMINER

DATE CONSIDERED

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

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.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875					Application or Docket Number 13/251,712		Filing Date 10/03/2011		☐ To be Mailed	
APPLICATION AS FILED – PART I										
(Column 1)			(Column 2)			SMALL ENTITY ☒ OR		OTHER THAN SMALL ENTITY		
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR		RATE (\$)	FEE (\$)		
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A				N/A			
☐ SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A				N/A			
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A				N/A			
TOTAL CLAIMS (37 CFR 1.16(i))	minus 20 =	*	X \$ =				X \$ =			
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X \$ =				X \$ =			
☐ APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).									
☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))										
* If the difference in column 1 is less than zero, enter "0" in column 2.										
APPLICATION AS AMENDED – PART II										
(Column 1)			(Column 2)			SMALL ENTITY OR		OTHER THAN SMALL ENTITY		
AMENDMENT	07/19/2012	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 28	Minus	** 26	= 2	X \$30 =	60	OR	X \$ =	
	Independent (37 CFR 1.16(h))	* 4	Minus	***4	= 0	X \$125 =	0	OR	X \$ =	
	☐ Application Size Fee (37 CFR 1.16(s))									
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))									
						TOTAL ADD'L FEE	60	OR	TOTAL ADD'L FEE	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X \$ =		OR	X \$ =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X \$ =		OR	X \$ =	
	☐ Application Size Fee (37 CFR 1.16(s))									
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))									
						TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	
* If the entry in column 1 is less than the entry in column 2, write "0" in column 3. ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.										

Legal Instrument Examiner:
/WANDA BARNES/

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.**

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



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136
909 7590 08/06/2012 Pillsbury Winthrop Shaw Pittman, LLP (NV) PO Box 10500 McLean, VA 22102			EXAMINER YEN, ERIC L	
			ART UNIT 2626	PAPER NUMBER
			NOTIFICATION DATE 08/06/2012	DELIVERY MODE 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):

docket_ip@pillsburylaw.com
margaret.drosos@pillsburylaw.com

Office Action Summary	Application No. 13/251,712	Applicant(s) BALDWIN ET AL.	
	Examiner ERIC YEN	Art Unit 2626	

-- 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 19 July 2012.
- 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) 1-28 is/are pending in the application.
5a) Of the above claim(s) 1-14 is/are withdrawn from consideration.
- 6) ☐ Claim(s) _____ is/are allowed.
- 7) ☒ Claim(s) 15 and 17-26 is/are rejected.
- 8) ☒ Claim(s) 16, 27 and 28 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) | 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) ☐ Notice of Informal Patent Application |
| 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) ☐ Other: _____ |

DETAILED ACTION

Response to Amendment

1. In response to the Office Action mailed 1/19/12, applicant has submitted an amendment filed 7/19/12.

Claims 15-26 have been amended. New claims 27-28 have been added.

Response to Arguments

1. Applicant's arguments with respect to claim 15 have been considered but are moot because the arguments do not apply to any of the references being used in the current rejection.

As per Claim 15:

Applicant argues that the "grammatically correct resource string" in Millett "is in no way related to (nor based on) a conversation type" and "the Examiner... does not allege or discuss how it would be obvious for the grammatically or syntactically adapted response to be based on a conversational goal or conversation type" and thus "Kargman and Millett, either alone or in combination, fail to teach or suggest each and every feature of independent claims 15 and 21" (Amendment, pages 13-14).

Applicant appears to be arguing where the grammatical and syntactic adaptation of the response is based on conversation type (i.e. where conversation type factors into the adaptation), but as claimed this is not the only interpretation of the claim language and is a feature not required as claimed. Specifically, "based on the conversation type" and "grammatically or syntactically adapted" are characteristics of the "response to the

Art Unit: 2626

natural language utterance” and not actions taken by the system. Therefore, all that is required in the claims is a “response to the natural language utterance” that has the characteristics of being “grammatically or syntactically adapted” and which was “generated” “based on conversation type”. The generation of the response to the natural language utterance is not limited to only the grammatical or syntactic adaptation, and can include, among other things the selection of what words are in the response. In Kargman, the more likely word of shrimp or mushrooms, for example, is chosen based on whether the conversation is about a pizza or some other food item. The response in Kargman is therefore generated based on the conversation type. In combination with Millett, who teaches ensuring that the response is grammatically correct (as acknowledged by Applicant), the response in the combination would be one that has words based on conversation type and which is syntactically or grammatically adapted. Both the grammatical adaptation and the word choice are part of the generation of the response and therefore the combination does teach the claimed limitation of generating a “grammatically or syntactically adapted response to the natural language utterance based on conversation type” because the response in the combination was generated in part due to the conversation type and has the characteristic of being grammatically or syntactically adapted.

Applicant does not claim that the grammatical or syntactic adaptation is what is based on the conversation type. Even though this is fairly clearly applicant’s intent, applicant’s intended meaning for the claim language is irrelevant especially when the intended meaning is not required by the claim language. As claimed all that is required

Art Unit: 2626

is for the generation of the response to be based on the conversation type and that the response has the characteristic of being grammatically or syntactically adapted. As discussed above, the prior art teaches this limitation.

Therefore, the examiner maintains that the prior art teaches the claim limitations as amended.

Alternatively, grammatical and syntactic adaptation used to ensure that a sentence is grammatically correct depends on the words in the sentence. Since the words in the response sentence depend on the conversation type (determining that the user spoke mushrooms and not shrimp for example) the grammatical adaptation can be interpreted as being based on conversation type because the grammatical adaptation depends on the words in the sentence which depend on the conversation type. While Millett, alone, does not teach where the conversation type affects the grammatical adaptation, the combination naturally results in grammatical adaptation that is based on conversation type because grammatical adaptation in Millett depends on the words in the response (e.g. the grammatically correct sentence would have different grammatical characteristics depending on whether someone was saying “mushrooms” as opposed to “pepperoni” or some other non-plural item like “a baked potato” in a conversation about side items) and the words in the response depend on the conversation type as described in Kargman.

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 negated by the manner in which the invention was made.

2. Claims 15, 17-26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kargman (US 2005/0015256), in view of Millett et al. (US 2007/0073544), hereafter Millett.

As per Claims 15, 21, Kargman teaches/suggests a method (and corresponding system claim 21) for providing a voice user interface, comprising: receiving a natural language utterance at a voice input device during a conversation between the voice user interface and a user (“customer repeatedly orders... initial or supplemental prompt... individually tailored”, paragraph 50; where the consistent ordering of a particular item is based on information shared between the user and system [i.e. what does the customer frequently order] to advance the mutual goal of taking down the customer’s food order [see applicant’s interpretation of “cooperative” in Specification, paragraph 2]; “calls to place an order”, paragraph 50; “speaking the word ‘pizza’”, paragraph 44; “statistically... mushroom... shrimp”, paragraph 48; speaking is uttering an input; “narrative”, paragraph 46; “natural interactive”, paragraph 51; where the example in paragraph 46 is a natural language utterance)

determining, at a conversational speech engine, a conversation type of the conversation or of the natural language utterance received during the conversation, wherein determining the conversation type includes determining a conversational goal of the conversation ("order history", paragraph 50; "mushroom... shrimp", paragraph 48; "whether they wish to order 'pizza'", paragraph 44; speaking "pizza", "drinks", or "side items" classifies the conversation as one about pizza, drinks, or side items and at least obviously the goal is determined to be ordering a pizza when the system is told that it is ordering a pizza; "prior orders", paragraph 50; "speaking the word 'pizza'", paragraph 44; "statistically... mushroom... shrimp", paragraph 47-48; determining that a user spoke a particular word among mushroom/shrimp, for example, determines that the user meant one ingredient and not the other, and Kargman teaches the statistical information determining mushroom and not shrimp is based on knowing that people ordering pizza [i.e. that the conversation type is one ordering pizza] usually say mushroom)

generating a response to the natural language utterance based on the conversation type ("speak the order back... for their confirmation", paragraph 49; where speaking the order back is a system response and depends on what the system interpreted the order to be [determined intended meaning], and it is obvious to make responses grammatically correct so as not to sound awkward to the user. One of ordinary skill in the art would at least make this inference based on "mushroom" and "shrimp" having different plural forms [e.g. "was that a pizza with mushrooms?" or "was that a pizza with shrimp?"]).

Kargman fails to teach where the response is grammatically or syntactically adapted.

Millett teaches/suggests where the response is grammatically or syntactically adapted (“spoken prompts contain both text and numeric... numeric value may be used to play grammatically correct prompts”, paragraph 8; “placed in the grammatically correct order... make sense to a telephone user listening”, paragraph 3; “grammatically correct for the numeric value contained in the prompt”, Abstract; where Millett teaches that a prompt is grammatically tailored for words in the response, and the idea of making a prompt make sense to a listener, which when applied to Kargman provides the same advantage [i.e. that the system makes sense]; See Response to Arguments)

Therefore, it would have been obvious to one of ordinary skill in the art at the time of invention to modify Kargman to include the teaching of Millett of where the response is grammatically or syntactically adapted, in order to ensure that computer responses make sense to a user listening to it, as described by Millett (paragraph 3).

As per Claim 17, 23, Kargman teaches wherein an adaptive response builder adapts the response to influence a subsequent natural language utterance expected during the conversation and move the conversation forward based on the conversational goal associated with the conversation or with the natural language utterance received during the conversation (“speak the order back... for their confirmation”, paragraph 49; where speaking confirmation prompts influences the user

Art Unit: 2626

to either confirm or deny the confirmation and proceed in ordering the user's desired food; "narrative", paragraph 46; "natural interactive", paragraph 51; where the example in paragraph 46 is a natural language utterance).

Kargman fails to teach where the response is grammatically or syntactically adapted.

Millett teaches/suggests where the response is grammatically or syntactically adapted ("spoken prompts contain both text and numeric... numeric value may be used to play grammatically correct prompts", paragraph 8; "placed in the grammatically correct order... make sense to a telephone user listening", paragraph 3; "grammatically correct for the numeric value contained in the prompt", Abstract; where Millett teaches that a prompt is grammatically tailored for words in the response, and the idea of making a prompt make sense to a listener, which when applied to Kargman provides the same advantage [i.e. that the system makes sense])

Therefore, it would have been obvious to one of ordinary skill in the art at the time of invention to modify Kargman to include the teaching of Millett of where the response is grammatically or syntactically adapted, in order to ensure that computer responses make sense to a user listening to it, as described by Millett (paragraph 3).

As per Claim 18, 24, Kargman teaches wherein the conversation type is determined as a query conversation if the conversation or the natural language utterance has a conversational goal to gather discrete information or perform a discrete

task, is determined as a didactic conversation if the conversation or the natural language utterance has a conversational goal to gather related information, or is determined as an exploratory conversation if the conversation or the natural language utterance has no specific goal (“order history”, paragraph 50; “mushroom... shrimp”, paragraph 48; “whether they wish to order ‘pizza’”, paragraph 44; “speak the order back... for their confirmation”, paragraph 49; applicant does not claim where the system first makes all of the determinations of “if” the conversation has a particular characteristic and using the satisfying of the “if” condition to make a determination that the conversation type is one of a set consisting of query/didactic/exploratory, and so as long as the prior art teaches a conversation necessarily sharing the characteristics of one of the “if” statements, one of the conversation types in the claim limitation is met [i.e. applicant is claiming characteristics of a conversation as opposed to characteristic determinations by the system for a particular classification purpose]; where asking the user for confirmation or what the user is ordering queries the user for the toppings and sizes of the pizza to be ordered [i.e. a discrete task], which is one of the recited types of conversations in the claim; “narrative”, paragraph 46; “natural interactive”, paragraph 51; where the example in paragraph 46 is a natural language utterance).

As per Claim 19, 25, Kargman teaches wherein determining the conversation type is based on a role of the user, wherein the conversation type is determined as a query conversation if a user that spoke the natural language utterance has a leader role to control the conversation, is determined as a didactic conversation if the user that

Art Unit: 2626

spoke the natural language utterance has a supporter role to provide information that the conversational speech engine requests during the conversation, or is determined as an exploratory conversation if the user that spoke the utterance has both the leader and the supporter role ("order history", paragraph 50; "mushroom... shrimp", paragraph 48; "whether they wish to order 'pizza'", paragraph 44; "speak the order back... for their confirmation", paragraph 49; applicant does not claim where the system first makes all of the determinations of "if" the conversation has a particular characteristic and using the satisfying of the "if" condition to make a determination that the conversation type is one of a set consisting of query/didactic/exploratory, and so as long as the prior art teaches a conversation necessarily sharing the characteristics of one of the "if" statements, one of the conversation types in the claim limitation is met [i.e. applicant is claiming characteristics of a conversation as opposed to characteristic determinations by the system for a particular classification purpose]; where in the conversation described in Kargman, the user "leads" the system by telling the system what to order, and therefore the conversation is a query conversation as described in claim 19; "narrative", paragraph 46; "natural interactive", paragraph 51; where the example in paragraph 46 is a natural language utterance).

As per Claim 20, 26, Kargman teaches wherein determining the conversation type is based on an allocation of information between the user and the conversational speech engine, wherein the conversation type is determined to be a query conversation or a didactic conversation if a user that spoke the natural language utterance has a

Art Unit: 2626

lower information allocation than the conversational speech engine, or is determined as a didactic conversation if the user and the conversational speech engine have an equal or alternating information allocation ("order history", paragraph 50; "mushroom... shrimp", paragraph 48; "whether they wish to order 'pizza'", paragraph 44; "speak the order back... for their confirmation", paragraph 49; applicant does not claim where the system first makes all of the determinations of "if" the conversation has a particular characteristic and using the satisfying of the "if" condition to make a determination that the conversation type is one of a set consisting of query/didactic/exploratory, and so as long as the prior art teaches a conversation necessarily sharing the characteristics of one of the "if" statements, one of the conversation types in the claim limitation is met [i.e. applicant is claiming characteristics of a conversation as opposed to characteristic determinations by the system for a particular classification purpose]; where the user only has knowledge of what he wants to order and the system knows all possible orders that can be made, and therefore the interaction in Kargman meets the characteristics of a query conversation).

Double Patenting

3. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims

Art Unit: 2626

are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

4. Claims 15, 17, 21-23, are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1, 5, 8, 9, of U.S. Patent No. 8,073,681. Although the conflicting claims are not identical, they are not patentably distinct from each other because they contain similar limitations.

5. Additionally, while Claims 1-14 are withdrawn from consideration and not rejected under this section, they are also eligible for rejection under double patenting for also reciting limitations described in US 8,073,681.

As per Claims 15, 21, Claims 1, 5, 8, of US 8,073,681 recite all of the limitations, including receiving an utterance (1st limitation), determining an intended meaning (4th limitation), classifying the conversation into a particular type (Claim 5), and grammatical/syntactic adaptation based on intended meaning and conversation type (Claim 1, last limitation, Claim 8).

As per Claim 22, Claim 5 of US 8,073,681 recite similar limitations.

As per Claims 17, 23, Claim 9 recites a similar limitation.

Allowable Subject Matter

2. The following is a statement of reasons for the indication of allowable subject matter:

The prior art of record does not teach the combination of limitations in claims 15 and 16, including determining the conversation type by determining whether the user has a leader or supporter role, and where generating a grammatically/syntactically adapted response comprises generating a response that limits a user's future input to interjecting queries for clarification if the user has a supporter role.

Conclusion

3. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. See PTO-892.
4. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to ERIC YEN whose telephone number is (571)272-4249. The examiner can normally be reached on M-F 7:30-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on 571-272-7602. 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.

EY 7/31/12
/Eric Yen/
Primary Examiner, Art Unit 2626

Notice of References Cited	Application/Control No. 13/251,712		Applicant(s)/Patent Under Reexamination BALDWIN ET AL.	
	Examiner ERIC YEN		Art Unit 2626	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-7,684,977	03-2010	Morikawa, Koji	704/211
*	B	US-7,894,849	02-2011	Kass et al.	455/550.1
*	C	US-6,631,351	10-2003	Ramachandran et al.	704/270
*	D	US-6,199,043	03-2001	Happ, Alan J.	704/272
*	E	US-6,246,990	06-2001	Happ, Alan J.	704/275
*	F	US-7,143,039	11-2006	Stifelman et al.	704/270
	G	US-			
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	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

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	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.

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	13/251,712
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	October 3, 2011	2626

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	1A	5,357,596	10/18/1994	Takebayashi <i>et al.</i>	395	2.84	
	1B	5,577,165	11/19/1996	Takebayashi <i>et al.</i>	395	2.84	
	1C	5,608,635	03/04/1997	Tamai	364	449.3	
	1D	5,740,256	04/14/1998	Castello Da Costa <i>et al.</i>	361	94.7	
	1E	5,748,974	05/05/1998	Johnson	395	759	
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	1G	5,960,397	09/28/1999	Rahim	704	244	
	1H	6,035,267	03/07/2000	Watanabe <i>et al.</i>	704	1	
	1I	6,067,513	05/23/2000	Ishimitsu	704	233	
	1J	6,188,982	02/13/2001	Chiang	704	256	
	1K	6,266,636	07/24/2001	Kosaka <i>et al.</i>	704	244	
	1L	6,275,231	08/14/2001	Obradovich	345	349	
	1M	6,362,748	03/26/2002	Huang	340	901	
	1N	6,434,529	08/13/2002	Walker <i>et al.</i>	704	275	
	1O	6,456,974	09/24/2002	Baker <i>et al.</i>	704	270.1	
	1P	6,510,417	01/21/2003	Woods <i>et al.</i>	704	275	
	1Q	6,560,590	05/06/2003	Shwe <i>et al.</i>	706	55	
	1R	6,591,239	07/08/2003	McCall <i>et al.</i>	704	275	
	1S	6,594,367	07/15/2003	Marash <i>et al.</i>	381	92	
	1T	6,633,846	10/14/2003	Bennett <i>et al.</i>	704	257	
	1U	6,754,485	06/22/2004	Obradovich <i>et al.</i>	455	414.1	
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							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
/E. Yen/	07/31/2012
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number		
				090611-0399090		13/251,712		
				Applicant(s)				
				Larry BALDWIN <i>et al.</i>				
				Filing Date		Group Art Unit		
Form PTO-1449				October 3, 2011		2626		
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	2B	6,910,003	06/21/2005	Arnold <i>et al.</i>	704	4		
	2C	6,934,756	08/23/2005	Maes	709	227		
	2D	6,959,276	10/25/2005	Droppo <i>et al.</i>	704	226		
	2E	6,968,311	11/22/2005	Knockeart <i>et al.</i>	704	270		
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	2Q	7,305,381	12/04/2007	Poppink <i>et al.</i>	1	1		
	2R	7,328,155	02/05/2008	Endo <i>et al.</i>	704	251		
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	2T	7,447,635	11/04/2008	Konopka <i>et al.</i>	704	275		
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	2V	7,516,076	04/07/2009	Walker <i>et al.</i>	704	275		
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							YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								

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				090611-0399090		13/251,712		
				Applicant(s)				
				Larry BALDWIN <i>et al.</i>				
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	3G	7,974,875	07/05/2011	Quilici <i>et al.</i>	705	14.4		
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	3K	8,086,463	12/27/2011	Ativanichayaphong <i>et al.</i>	704	275		
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	3V	2002/0133402	09/19/2002	Faber <i>et al.</i>	705	14		
	3W	2002/0161646	10/31/2002	Gailey <i>et al.</i>	705	14		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								

EXAMINER	DATE CONSIDERED
/E. Yen/	07/31/2012
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE, IF APPROPRIATE
	4A	2003/0016835	01/23/2003	Elko <i>et al.</i>	381	92	
	4B	2003/0110037	06/12/2003	Walker <i>et al.</i>	704	257	
	4C	2003/0115062	06/19/2003	Walker <i>et al.</i>	704	258	
	4D	2003/0204492	10/30/2003	Wolf <i>et al.</i>	707	3	
	4E	2003/0206640	11/06/2003	Malvar <i>et al.</i>	381	93	
	4F	2004/0098245	05/20/2004	Walker <i>et al.</i>	704	1	
	4G	2004/0205671	10/14/2004	Sukehiro <i>et al.</i>	715	532	
	4H	2005/0137877	06/23/2005	Oesterling <i>et al.</i>	704	275	
	4I	2007/0078708	04/05/2007	Yu <i>et al.</i>	705	14	
	4J	2007/0078709	04/05/2007	Rajaram	705	14	
	4K	2007/0162296	07/12/2007	Altberg <i>et al.</i>	705	1	
	4L	2008/0065386	03/13/2008	Cross <i>et al.</i>	704	270	
	4M	2008/0109285	05/08/2008	Reuther <i>et al.</i>	705	7	
	4N	2009/0067599	03/12/2009	Agarwal <i>et al.</i>	379	114.21	
	4O	2010/0185512	07/22/2010	Borger <i>et al.</i>	705	14.49	
	4P	2012/0101809	04/26/2012	Kennewick <i>et al.</i>	704	9	
	4Q	2012/0101810	04/26/2012	Kennewick <i>et al.</i>	704	9	
	4R	2012/0109753	05/03/2012	Kennewick <i>et al.</i>	705	14.58	
	4S	2012/0150636	06/14/2012	Freeman <i>et al.</i>	705	14.49	

[illegible]

Page 170 of 277

<i>Index of Claims</i> 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2626

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

☐ Claims renumbered in the same order as presented by applicant				☐ CPA		☐ T.D.		☐ R.1.47	
CLAIM		DATE							
Final	Original	01/15/2012	07/31/2012						
	1	N	N						
	2	N	N						
	3	N	N						
	4	N	N						
	5	N	N						
	6	N	N						
	7	N	N						
	8	N	N						
	9	N	N						
	10	N	N						
	11	N	N						
	12	N	N						
	13	N	N						
	14	N	N						
	15	✓	✓						
	27		O						
	28		O						
	16	✓	O						
	17	✓	✓						
	18	✓	✓						
	19	✓	✓						
	20	✓	✓						
	21	✓	✓						
	22	✓	✓						
	23	✓	✓						
	24	✓	✓						
	25	✓	✓						
	26	✓	✓						

EAST Search History**EAST Search History (Prior Art)**

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	1	704/270-275.ccls. and (leader same supporter)	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 12:58
L2	113	704/270-275.ccls. and (lead\$4 same support\$4)	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 12:58
L3	90	704/270-275.ccls. and (leader)	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 12:58
L4	5	704/270-275.ccls. and (conversation\$1 near5 role\$1)	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 13:00
L5	18	704/270-275.ccls. and (conversation\$1 with role\$1)	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 13:03
L7	13	(704/270-275.ccls. and (conversation\$1 with role\$1)) not L4	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 13:03
L8	8	(704/270-275.ccls. and (limit\$4 near5 barg\$4))	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 13:05
L9	1	(704/270-275.ccls. and (constrain\$4 near5 barg\$4))	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 13:06
L10	3	(704/270-275.ccls. and (restrict\$4 near5 barg\$4))	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 13:07
L11	1	13/251712 and interject\$4	US-PGPUB; USPAT; USOCR; EPO; JPO	OR	OFF	2012/07/31 13:07

7/ 31/ 2012 1:26:24 PM**C:\ Users\ eyen\ Documents\ EAST\ Workspaces\ 12754156.w sp**

<i>Search Notes</i> 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2626

SEARCHED			
Class	Subclass	Date	Examiner
704	270-275	1/15/12	EY

SEARCH NOTES		
Search Notes	Date	Examiner
EAST Search (attached)	1/15/12	EY
EAST Search (attached)	7/31/12	EY

INTERFERENCE SEARCH			
Class	Subclass	Date	Examiner

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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.

Request for Continued Examination (RCE) Transmittal

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

Application Number	13/251,712
Filing Date	October 3, 2011
First Named Inventor	Larry BALDWIN, et al.
Art Unit	2626
Examiner Name	Eric L. YEN
Attorney Docket Number	090611-0399090

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.

Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

a. ☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

ii. ☐ Other _____

b. ☒ Enclosed

i. ☒ Amendment/Reply

iii. ☐ Information Disclosure Statement (IDS)

ii. ☐ Affidavit(s)/ Declaration(s)

iv. ☐ Other _____

2. Miscellaneous

Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a

a. ☐ period of _____ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(l) required)

b. ☐ Other _____

3. Fees

The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.

The Director is hereby authorized to charge the following fees any underpayment of fees or credit any overpayments to

a. ☒ Deposit Account No. 033975.

i. ☒ RCE fee required under 37 CFR 1.17(e)

ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17)

iii. ☐ Other _____

b. ☐ Check in the amount of \$ _____ enclosed

c. ☐ Payment by credit card (Form PTO-2038 enclosed)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Signature	/Chen Li/	Date	November 27, 2012
Name (Print/Type)	Chen Li	Registration No.	67,448

CERTIFICATE OF MAILING OR TRANSMISSION

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

Signature		Date	
Name (Print/Type)		Date	

This collection of information is required by 37 CFR 1.114. 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: Mail Stop RCE, 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.

American LegalNet, Inc.
www.FormsWorkFlow.com



PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)		Docket Number (Optional) 090611-0399090																									
Application Number 13/251,712		Filed October 3, 2011																									
For SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE																											
Art Unit 2626		Examiner YEN, ERIC L.																									
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): <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;"></th> <th style="width: 15%; text-align: center;"><u>Fee</u></th> <th style="width: 15%; text-align: center;"><u>Small Entity Fee</u></th> <th style="width: 30%;"></th> </tr> </thead> <tbody> <tr> <td>☒ One month (37 CFR 1.17(a)(1))</td> <td style="text-align: center;">\$150</td> <td style="text-align: center;">\$75</td> <td style="text-align: right;">\$ <u>75.00</u></td> </tr> <tr> <td>☐ Two months (37 CFR 1.17(a)(2))</td> <td style="text-align: center;">\$560</td> <td style="text-align: center;">\$280</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>☐ Three months (37 CFR 1.17(a)(3))</td> <td style="text-align: center;">\$1270</td> <td style="text-align: center;">\$635</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>☐ Four months (37 CFR 1.17(a)(4))</td> <td style="text-align: center;">\$1980</td> <td style="text-align: center;">\$990</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>☐ Five months (37 CFR 1.17(a)(5))</td> <td style="text-align: center;">\$2690</td> <td style="text-align: center;">\$1345</td> <td style="text-align: right;">\$ _____</td> </tr> </tbody> </table> ☐ 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. ☒ The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>033975</u>. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. I am the ☐ applicant/inventor. ☐ assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed (Form PTO/SB/96). ☒ attorney or agent of record. Registration Number <u>67,448</u> ☐ attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____ /Chen Li/ _____ Signature Chen Li _____ Typed or printed name November 27, 2012 _____ Date (703) 770-7898 _____ Telephone Number NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below. ☒ Total of <u>1</u> forms are submitted.					<u>Fee</u>	<u>Small Entity Fee</u>		☒ One month (37 CFR 1.17(a)(1))	\$150	\$75	\$ <u>75.00</u>	☐ Two months (37 CFR 1.17(a)(2))	\$560	\$280	\$ _____	☐ Three months (37 CFR 1.17(a)(3))	\$1270	\$635	\$ _____	☐ Four months (37 CFR 1.17(a)(4))	\$1980	\$990	\$ _____	☐ Five months (37 CFR 1.17(a)(5))	\$2690	\$1345	\$ _____
	<u>Fee</u>	<u>Small Entity Fee</u>																									
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This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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



Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 1 of 10

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE PATENT APPLICATION OF:	Larry BALDWIN <i>et al.</i>
SERIAL NO.:	13/251,712
FILING DATE:	October 3, 2011
ATTORNEY DOCKET No.:	090611-0399090
CONFIRMATION NO.:	2136
EXAMINER:	Eric L. YEN
ART UNIT:	2626
FOR:	System and Method for a Cooperative Conversational Voice User Interface

**AMENDMENT ACCOMPANYING
REQUEST FOR CONTINUED
EXAMINATION (RCE)****MAIL STOP RCE**

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

Dear Sir:

In response to the Final Office Action mailed **August 6, 2012**, please amend the above-identified application as follows:

Amendments to the Claims begin on page 2 of this paper.

Remarks begin on page 7 of this paper.

It is not believed that extensions of time or fees for net addition of claims are required beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time are necessary to prevent abandonment of this application, then such extensions of time are hereby petitioned for under 37 C.F.R. § 1.136(a), and any fees required therefore (including fees for net addition of claims) are hereby authorized to be charged to Deposit Account No. 033975 (**Ref. No. 090611-0399090**).

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 2 of 10

This listing of claims will replace all prior versions and listings of claims in the Application.

LISTING OF CLAIMS:

1-15. (Cancelled)

16. (Currently Amended) The method recited in claim 15, A method of providing a voice interface, comprising:

receiving, at a speech engine, a natural language utterance from a voice-enabled device, the natural language utterance corresponding to a conversation type;

determining the conversation type corresponding to the natural language utterance based on whether a user that spoke the natural language utterance wherein determining the conversation type further comprises determining whether the user has a leader role in an interaction with the voice-enabled device in the conversation or has a supporter role in the interaction with the voice-enabled device in the conversation; and

generating a response to the natural language utterance with a format based on the conversation type, wherein the format is adapted to limit the , and wherein generating the grammatically or syntactically adapted response comprises generating, if the user has a supporter role in the conversation, a response that limits a user's future input to interjecting queries or requests for clarification if the user has the supporter role.

17. (Currently Amended) The method recited in claim 16, wherein determining the conversation type comprises determining a conversational goal corresponding to the natural language utterance, wherein the format of the response is adapted to provide a discrete piece of information to the user, to provide a plurality of pieces of related information to the user, or to obtain one or more pieces of information from the user an adaptive response-builder grammatically or syntactically adapts the response to influence a subsequent natural language utterance expected during the conversation and move the conversation forward based on the conversational goal associated with the conversation or with the natural language utterance received during the conversation.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 3 of 10

18. **(Currently Amended)** The method recited in claim ~~[[15]]~~ 16, ~~wherein determining the conversation type includes determining a conversational goal corresponding to the natural language utterance,~~ wherein the conversation type is determined as a query conversation if ~~the conversation or the natural language utterance has a~~ the conversational goal is to gather discrete information or perform a discrete task, is determined as a didactic conversation if ~~the conversation or the natural language utterance has a~~ the conversational goal is to gather related information, or is determined as an exploratory conversation if ~~the conversation or the natural language utterance has no specific goal.~~

19. **(Currently Amended)** The method recited in claim ~~[[15]]~~ 16, ~~wherein determining the conversation type is based on a role of the user,~~ wherein the conversation type is determined as a query conversation if ~~[[a]]~~ the user that spoke the natural language utterance has ~~[[a]]~~ the leader role ~~to control the conversation,~~ is determined as a didactic conversation if the user that spoke the natural language utterance has ~~[[a]]~~ the supporter role ~~to provide information that the conversational speech engine requests during the conversation,~~ or is determined as an exploratory conversation if the user that spoke the natural language utterance has both the leader role and the supporter role.

20. **(Currently Amended)** The method recited in claim ~~[[15]]~~ 16, wherein determining the conversation type is based on an allocation of information between the user and the ~~conversational~~ speech engine, wherein the conversation type is determined to be a query conversation or a didactic conversation if ~~[[a]]~~ the user that spoke the natural language utterance has a lower ~~information~~ allocation of information related to the natural language utterance than the ~~conversational~~ speech engine, or is determined as a didactic conversation if the user and the ~~conversational~~ speech engine have an equal or alternating ~~information~~ allocation of information related to the natural language utterance.

21. **(Cancelled)**

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 4 of 10

22. **(Currently Amended)** ~~The system recited in claim 21,~~ A system for providing a voice interface, comprising:

a speech engine configured to receive a natural language utterance from a voice-enabled device, the natural language utterance corresponding to a conversation type, wherein the speech engine includes a processor configured to:

determine the conversation type corresponding to the natural language utterance based on whether a user that spoke the natural language utterance wherein the one or more processors associated with the conversational speech engine are further configured to determine the conversation type by determining whether the user has a leader role in an interaction with the voice-enabled device in the conversation or has a supporter role in the interaction with the voice-enabled device in the conversation;

a response builder configured to generate a response to the natural language utterance with a format based on the conversation type, wherein the format is adapted to limit the and wherein the adaptive response builder is configured to generate the grammatically or syntactically adapted response by generating, if the user has a supporter role in the conversation, a response that limits a user's future input to interjecting queries or requests for clarification if the user has the supporter role.

23. **(Currently Amended)** ~~The system recited in claim 22,~~ wherein the speech engine is configured to determine the conversation type further based on a conversational goal corresponding to the natural language utterance, and wherein the format of the response is adapted to provide a discrete piece of information to the user, to provide a plurality of pieces of related information to the user, or to obtain one or more pieces of information from the user ~~adaptive response builder is configured to grammatically or syntactically adapt the response to:~~

~~influence a subsequent natural language utterance expected during the conversation; and~~

~~move the conversation forward based on the conversational goal associated with the conversation or with the natural language utterance received during the conversation.~~

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 5 of 10

24. **(Currently Amended)** The system recited in claim ~~[[21]]~~ 22, wherein the speech engine is configured to determine the conversation type further based on a conversational goal corresponding to the natural language utterance, and wherein the conversation type is determined to be a query conversation if ~~the conversation or the natural language utterance has a~~ the conversational goal is to gather discrete information or perform a discrete task, is determined to be a didactic conversation if ~~the conversation or the natural language utterance has a~~ the conversational goal is to gather related information, or is determined to be an exploratory conversation if ~~the conversation or the natural language utterance~~ has no specific goal.

25. **(Currently Amended)** The system recited in claim ~~[[21]]~~ 22, wherein the ~~one or more processors associated with the conversational~~ speech engine is configured to determine the conversation type based on ~~[[a]]~~ the role of the user, wherein the conversation type is determined to be a query conversation if ~~[[a]]~~ the user that spoke the natural language utterance has ~~[[a]]~~ the leader role ~~to control the conversation~~, is determined to be a didactic conversation if the user that spoke the natural language utterance has ~~[[a]]~~ the supporter role ~~to provide information that the conversational speech engine requests during the conversation~~, or is determined to be an exploratory conversation if the user that spoke the natural language utterance has both the leader role and the supporter role.

26. **(Currently Amended)** The system recited in claim ~~[[21]]~~ 22, wherein the ~~one or more processors associated with the conversational~~ speech engine is configured to determine the conversation type based on an allocation of information between the user and the ~~conversational~~ speech engine, wherein the conversation type is determined to be a query conversation or a didactic conversation if ~~[[a]]~~ the user that spoke the natural language utterance has a lower ~~information allocation of~~ information related to the natural language utterance than the ~~conversational~~ speech engine or is determined to be a didactic conversation if the user and the ~~conversational~~ speech engine have an equal or alternating information allocation of information.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 6 of 10

27. **(Currently Amended)** The method recited in claim 16, wherein determining the conversation type further comprises determining an allocation of information between the user and the conversational speech engine.

28. **(Currently Amended)** The method recited in claim 16, wherein generating the ~~grammatically or syntactically adapted~~ response comprises generating, if the conversation type is a query conversation, a response that only provides information requested by the natural language utterance, and generating, if the conversation type is a didactic conversation, a response that controls the conversation and limits ~~[[a]]~~ the user's future input to a request or query for clarification.

29. **(New)** The method recited in claim 16, wherein the natural language utterance is part of a conversation that comprises related natural language utterances from the user, wherein determining whether the user has the leader role or the supporter role comprises determining whether the user controls the conversation or whether the user provides information to the speech engine during the conversation.

30. **(New)** The method recited in claim 17, wherein the response generated in the format that is adapted to provide the discrete piece of information is shorter than the response generated in the format that is adapted to provide the plurality of pieces of related information.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 7 of 10

REMARKS

In response to the Final Office Action mailed **August 6, 2012** (hereinafter "Final Action"), claims 16-20 and 22-28 have been amended. Claims 1-15 and 21 have been canceled without prejudice or disclaimer. New claims 29-30 have been added. Therefore, claims 16-20 and 22-30 are pending. Support for the instant amendments is provided throughout the as-filed Specification. Thus, no new matter has been added. In view of the foregoing amendments and following comments, allowance of all the pending claims in the application is earnestly sought.

INFORMATION DISCLOSURE STATEMENT

Applicants are submitting herewith a Supplemental Information Disclosure Statement and request that the Examiner consider the cited references and provide a signed copy of the Form PTO-1449 for this submission with the next Office Action.

EXAMINER INTERVIEW

Applicants thank Examiner Yen for granting Applicants' representative (the undersigned) the courtesy of a telephonic interview on August 9, 2012. During the Examiner Interview, the scope of allowable subject matter was discussed.

ALLOWABLE SUBJECT MATTER

Applicants thank the Examiner for the indication of allowable subject matter. The Examiner has indicated that claims 16, 27, and 28 would be allowable if rewritten in independent form to include all of the features of the base claim and any intervening claims. [Final Action, at page 13; *see also* Office Action Summary (Form PTOL-326)].

NON-STATUTORY DOUBLE PATENTING REJECTION

Claims 17 and 22-23 stand rejected under the judicially created doctrine of obviousness-type double patenting as allegedly being unpatentable over claims 1, 5, 8, and 9 of U.S. Patent No. 8,073,681 to Baldwin *et al.* (hereinafter "Baldwin") [Final Action, at page 10].

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 8 of 10

Applicants disagree with the propriety of the rejections set forth by the Examiner. However, *solely* in an effort to expedite prosecution, Applicants are filing herewith a terminal disclaimer, thus obviating the obviousness-type double patenting rejection.

Applicants further note that filing a Terminal Disclaimer to obviate a rejection based on non-statutory double patenting does not constitute an admission of the propriety of the rejection. *See Quad Environmental Technologies Corp. v. Union Sanitary District*, 946 F.2d 870 (Fed. Cir. 1991) (indicating that “filing of a terminal disclaimer simply serves the statutory function of removing the rejection of double patenting, and raises neither a presumption nor estoppel on the merits of the rejection.”).

REJECTIONS UNDER 35 U.S.C. § 103

Claims 16-20 and 22-28 stand rejected under 35 U.S.C. § 103(a) as allegedly being unpatentable over U.S. Patent Application Publication No. 2005/0015256 by Kargman *et al.* (hereinafter “Kargman”) in view of U.S. Patent Application Publication No. 2007/0073544 by Millett *et al.* (hereinafter “Millett”) [Final Action, at page 5]. Applicants disagree with the propriety of the alleged rejection. However, *solely* in an effort to expedite prosecution of the application, and in no way acquiescing in the propriety of the alleged rejections, independent claims 16 and 22 have each been amended to clarify aspects of the invention.

For example, independent claim 16 recites, *inter alia*, the feature of:

generating a response to the natural language utterance with a format based on the conversation type, wherein the format is adapted to limit the user’s future input to interjecting queries or requests for clarification if the user has the supporter role

Even assuming *arguendo* that it were deemed legally proper to modify Kargman to include the alleged teachings of Millett in the manner alleged by the Examiner (which Applicants do not concede), the two references, either alone or in combination, fail to teach or suggest *at least* the foregoing features.

Kargman relates to a system having a “voice receiver for receiving spoken words from a customer” and “parsing the detected spoken words into concepts comprising components defining a food order.” [Kargman, at ¶ 21]. “In response to the customer

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 9 of 10

speaking the word 'pizza' the system prompts the user to first specify the 'size' by offering the customer the particular available options such as 'large', 'medium' or 'small.'"

[Kargman, at ¶ 44]. "The system will then repeat the order for the user's confirmation."

[Kargman, at ¶ 46]. Even assuming *arguendo* that prompting the user for the size or repeating the order in Kargman teaches or suggests generating a response to a natural language utterance (which Applicants do not concede), Kargman fails to teach or suggest generating a response with a format based on a conversation type nor using a format that limits a user's future input to interjecting queries or requests for clarification if the user has a supporter role. The foregoing deficiency in Kargman is not cured by Millett.

For *at least* the foregoing reason, the rejection of independent claims 16 and 22 is legally improper, and should be withdrawn. Further, dependent claims 17-20 and 23-30 are allowable *at least* by virtue of their dependence on one of independent claims 16 or 22.

Applicant: BALDWIN *et al.*
Serial No: 13/251,712
Filing Date: October 3, 2011
Page: 10 of 10

CONCLUSION

Having addressed each of the foregoing rejections, it is respectfully submitted that a full and complete response has been made to the outstanding Office Action and, as such, the application is in condition for allowance. Notice to that effect is respectfully requested.

If the Examiner believes, for any reason, that personal communication will expedite prosecution of this application, the Examiner is invited to telephone the undersigned at the number provided.

Respectfully submitted,

Date: November 27, 2012

PILLSBURY WINTHROP SHAW PITTMAN LLP

By: /Chen Li/

Registration No. 67,448

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P.O. Box 10500
McLean, Virginia 22102
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Main: 703.770.7900
Fax: 703.770.7901

Electronic Patent Application Fee Transmittal				
Application Number:		13251712		
Filing Date:		03-Oct-2011		
Title of Invention:		SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		
First Named Inventor/Applicant Name:		Larry BALDWIN		
Filer:		Robert Charles Friedt Perez/Jennifer Hake		
Attorney Docket Number:		090611-0399090		
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:				
Extension - 1 month with \$0 paid	2251	1	75	75

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Miscellaneous:				
Request for continued examination	2801	1	465	465
Total in USD (\$)				540

Electronic Acknowledgement Receipt

EFS ID:	14318676
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	909
Filer:	Robert Charles Friedt Perez/Jennifer Hake
Filer Authorized By:	Robert Charles Friedt Perez
Attorney Docket Number:	090611-0399090
Receipt Date:	27-NOV-2012
Filing Date:	03-OCT-2011
Time Stamp:	16:26:37
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 540
RAM confirmation Number	3549
Deposit Account	033975
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)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Continued Examination (RCE)	090611_0399090_RCE.pdf	90874	no	1
			a45f7cab52fed190a23a9b34c2445c0c7500513		
Warnings:					
This is not a USPTO supplied RCE SB30 form.					
Information:					
2	Extension of Time	090611_0399090_Extension.pdf	71962	no	1
			c4403f13a9286a48f48e6d44258097a6ddd e8c62		
Warnings:					
Information:					
3		090611_0399090_Response.pdf	427614	yes	10
			296a3c93e7bd8302b1a60301fa4fbed18afc a05		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Amendment Submitted/Entered with Filing of CPA/RCE		1	1	
	Claims		2	6	
	Applicant Arguments/Remarks Made in an Amendment		7	10	
Warnings:					
Information:					
4	Fee Worksheet (SB06)	fee-info.pdf	32595	no	2
			71c60990130b2bbc3e7f416f635ca7c9126c3cc8		
Warnings:					
Information:					
Total Files Size (in bytes):			623045		

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.

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.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875					Application or Docket Number 13/251,712		Filing Date 10/03/2011		☐ To be Mailed	
APPLICATION AS FILED – PART I										
(Column 1)			(Column 2)			SMALL ENTITY ☒ OR		OTHER THAN SMALL ENTITY		
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR		RATE (\$)	FEE (\$)		
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A				N/A			
☐ SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A				N/A			
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A				N/A			
TOTAL CLAIMS (37 CFR 1.16(i))	minus 20 =	*	X \$ =				X \$ =			
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X \$ =				X \$ =			
☐ APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).									
☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))										
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		TOTAL					
APPLICATION AS AMENDED – PART II										
(Column 1)			(Column 2)			SMALL ENTITY OR		OTHER THAN SMALL ENTITY		
AMENDMENT	11/27/2012	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 14	Minus	** 28	= 0	X \$31 =	0	OR	X \$ =	
	Independent (37 CFR 1.16(h))	* 2	Minus	***4	= 0	X \$125 =	0	OR	X \$ =	
	☐ Application Size Fee (37 CFR 1.16(s))									
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))									
						TOTAL ADD'L FEE	0	OR	TOTAL ADD'L FEE	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X \$ =		OR	X \$ =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X \$ =		OR	X \$ =	
	☐ Application Size Fee (37 CFR 1.16(s))									
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))									
						TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	
* If the entry in column 1 is less than the entry in column 2, write "0" in column 3. ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". The "Highest Number Previously Paid For" (Total or Independent) is the highest 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.**

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

Legal Instrument Examiner:
/KAREN VESTAL/



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

909 7590 02/14/2013
Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

EXAMINER

YEN, ERIC L

ART UNIT

PAPER NUMBER

2658

DATE MAILED: 02/14/2013

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136

TITLE OF INVENTION: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$885	\$300	\$0	\$1185	05/14/2013

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)

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.

909 7590 02/14/2013
Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

Certificate of Mailing or Transmission

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

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136

TITLE OF INVENTION: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$885	\$300	\$0	\$1185	05/14/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
YEN, ERIC L	2658	704-275000

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

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

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document 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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UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136
909 7590 02/14/2013 Pillsbury Winthrop Shaw Pittman, LLP (NV) PO Box 10500 McLean, VA 22102			EXAMINER YEN, ERIC L	
			ART UNIT 2658	PAPER NUMBER

DATE MAILED: 02/14/2013

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 0 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 0 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)	
	13/251,712	BALDWIN ET AL.	
	Examiner	Art Unit	
	ERIC YEN	2658	

-- 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 Amendment filed 11/27/12.
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 16-20 and 22-30. 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)

- | | |
|--|--|
| <ol style="list-style-type: none"> 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 _____. | <ol style="list-style-type: none"> 5. ☐ Examiner's Amendment/Comment 6. ☒ Examiner's Statement of Reasons for Allowance 7. ☐ Other _____. |
|--|--|

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DETAILED ACTION

Response to Amendment

1. In response to the Final Office Action mailed 8/6/12, applicant has submitted an amendment and Request for Continued Examination filed 11/27/12.

Claims 16-20, 22-28 have been amended. New claims 29-30 have been added.

Allowable Subject Matter

1. Claims 16-20, 22-30, are allowed.
2. The following is an examiner's statement of reasons for allowance:.

Applicant has amended claim 16, which was previously indicated as incorporating allowable subject matter, into independent form (and claim 22 as well). The prior art of record does not teach the limitations previously indicated as allowable subject matter in the Final Office Action mailed 8/6/12. Additionally, even though no Terminal Disclaimer has been filed despite applicant's Remarks, the double patenting rejection is nevertheless withdrawn since the parent case contains no claim which recites the allowable subject matter (i.e. the parent case's claims only make a broad mention of roles in a conversation).

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."

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to ERIC YEN whose telephone number is (571)272-4249. The examiner can normally be reached on M-F 7:30-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on 571-272-7602. 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.

EY 2/1/13
/Eric Yen/
Primary Examiner, Art Unit 2658

Search Notes 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2626

CPC- SEARCHED		
Symbol	Date	Examiner

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
704	270-275	1/15/12	EY
704	9, 270-275	2/1/13	EY

SEARCH NOTES		
Search Notes	Date	Examiner
EAST Search (attached)	1/15/12	EY
EAST Search (attached)	7/31/12	EY

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner
704	9, 270-275	2/1/13	EY

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Issue Classification 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2658

CPC				
Symbol			Type	Version

CPC Combination Sets					
Symbol		Type	Set	Ranking	Version

US ORIGINAL CLASSIFICATION						INTERNATIONAL CLASSIFICATION										
CLASS			SUBCLASS			CLAIMED					NON-CLAIMED					
704			275			G	0	6	F	17 / 27 (2006.01.01)						
CROSS REFERENCE(S)						G	1	0	L	11 / 00 (2006.01.01)						
						G	1	0	L	21 / 00 (2006.01.01)						
CLASS		SUBCLASS (ONE SUBCLASS PER BLOCK)														
704		9	270	270.1												

NONE		Total Claims Allowed:	
(Assistant Examiner)		14	
(Date)			
/ERIC YEN/ Primary Examiner.Art Unit 2658		O.G. Print Claim(s)	O.G. Print Figure
2/1/13		16	3
(Primary Examiner)		(Date)	

Issue Classification 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.	
	Examiner ERIC YEN	Art Unit 2658	

NONE (Assistant Examiner) (Date)		Total Claims Allowed: 14	
/ERIC YEN/ Primary Examiner.Art Unit 2658 (Primary Examiner) (Date)		O.G. Print Claim(s) 16	O.G. Print Figure 3

Issue Classification 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2658

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☐ T.D. ☐ R.1.47															
Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	16														
2	17														
4	18														
5	19														
6	20														
10	22														
11	23														
12	24														
13	25														
14	26														
7	27														
8	28														
9	29														
3	30														

NONE	Total Claims Allowed: 14	
(Assistant Examiner)	(Date)	
/ERIC YEN/ Primary Examiner.Art Unit 2658	2/1/13	O.G. Print Claim(s) 16
(Primary Examiner)	(Date)	O.G. Print Figure 3

Request for Continued Examination (RCE) Transmittal

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

Application Number	13/251,712
Filing Date	October 3, 2011
First Named Inventor	LARRY BALDWIN
Art Unit	2658
Examiner Name	Eric L. Yen
Attorney Docket Number	090611-0399090

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.

Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

a. ☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

ii. ☐ Other _____

b. ☒ Enclosed

i. ☐ Amendment/Reply

iii. ☒ Information Disclosure Statement (IDS)

ii. ☐ Affidavit(s)/ Declaration(s)

iv. ☐ Other _____

2. Miscellaneous

Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a

a. ☐ period of _____ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(l) required)

b. ☐ Other _____

3. Fees

The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.

The Director is hereby authorized to charge the following fees any underpayment of fees or credit any overpayments to

a. ☒ Deposit Account No. 033975.

i. ☒ RCE fee required under 37 CFR 1.17(e)

ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17)

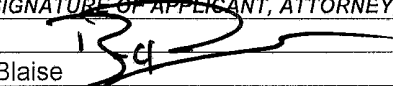
iii. ☐ Other _____

b. ☐ Check in the amount of \$ _____ enclosed

c. ☐ Payment by credit card (Form PTO-2038 enclosed)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Signature		Date	May 14, 2013
Name (Print/Type)	Bradford C. Blaise	Registration No.	47,429

CERTIFICATE OF MAILING OR TRANSMISSION

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

Signature		Date	
Name (Print/Type)		Date	

This collection of information is required by 37 CFR 1.114. 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: Mail Stop RCE, 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

APPLICANTS : Larry BALDWIN *et al.* CONFIRMATION No.: 2136
SERIAL NUMBER : 13/251,712 EXAMINER: Eric L. Yen
FILING DATE : October 3, 2011 ART UNIT: 2658
FOR : SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

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

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants hereby make of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This Supplemental Information Disclosure Statement is being filed within three months of the filing date of a national application other than a continued prosecution application under 37 C.F.R. § 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, or before the mailing date of a first Office

Action on the merits, or before the mailing date of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No certification or fee is required. 37 C.F.R. § 1.97(b).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449.

Respectfully submitted,

PILLSBURY WINTHROP SHAW PITTMAN LLP

By 
Bradford C. Blaise
Registration No.: 47,429

Customer No.
00909

P. O. Box 10500
McLean, Virginia 22102
Telephone: (703) 770-7900
Telefax: (703) 770-7901

Dated: May 14, 2013

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	13/251,712
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	October 3, 2011	2658

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1A	5,855,000	12/29/1998	Waibel <i>et al.</i>	704	235	
	1B	5,892,900	04/06/1999	Ginter <i>et al.</i>	395	186	
	1C	6,076,059	06/13/2000	Glickman <i>et al.</i>	704	260	
	1D	6,122,613	09/19/2000	Baker	704	235	
	1E	6,236,968	05/22/2001	Kanevsky <i>et al.</i>	704	275	
	1F	6,301,560	10/09/2001	Masters	704	251	
	1G	6,356,869	03/12/2002	Chapados <i>et al.</i>	704	275	
	1H	6,393,403	05/21/2002	Majaniemi	704	275	
	1I	6,505,155	01/07/2003	Vanbuskirk <i>et al.</i>	704	246	
	1J	6,571,279	05/27/2003	Herz <i>et al.</i>	709	217	
	1K	6,578,022	06/10/2003	Foulger <i>et al.</i>	706	45	
	1L	6,584,439	06/24/2003	Geilhufe <i>et al.</i>	704	270	
	1M	6,601,026	07/29/2003	Appelt <i>et al.</i>	704	9	
	1N	6,704,396	03/09/2004	Parolkar <i>et al.</i>	379	88.17	
	1O	6,704,576	03/09/2004	Brachman <i>et al.</i>	455	503	
	1P	6,745,161	06/01/2004	Arnold <i>et al.</i>	704	7	
	1Q	6,754,627	06/22/2004	Woodward	704	235	
	1R	6,850,603	02/01/2005	Eberle <i>et al.</i>	379	88.16	
	1S	7,027,586	04/11/2006	Bushey <i>et al.</i>	379	265.09	
	1T	7,036,128	04/25/2006	Julia <i>et al.</i>	719	317	
	1U	7,107,218	09/12/2006	Preston	704	270	
	1V	7,130,390	10/31/2006	Abburi	379	88.17	
	1W	7,190,770	03/13/2007	Ando <i>et al.</i>	379	88.01	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number	
				090611-0399090		13/251,712	
				Applicant(s)			
				Larry BALDWIN <i>et al.</i>			
				Filing Date		Group Art Unit	
Form PTO-1449				October 3, 2011		2658	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE, IF APPROPRIATE
	2A	7,197,460	03/27/2007	Gupta <i>et al.</i>	704	270.1	
	2B	7,272,212	09/18/2007	Eberle <i>et al.</i>	379	88.17	
	2C	7,283,829	10/16/2007	Christenson <i>et al.</i>	455	461	
	2D	7,283,951	10/16/2007	Marchisio <i>et al.</i>	704	9	
	2E	7,299,186	11/20/2007	Kuzunuki <i>et al.</i>	704	270.1	
	2F	7,321,850	01/22/2008	Wakita	704	10	
	2G	7,366,285	04/29/2008	Parolkar <i>et al.</i>	379	88.17	
	2H	7,421,393	09/02/2008	Di Fabrizio <i>et al.</i>	704	275	
	2I	7,454,608	11/18/2008	Gopalakrishnan <i>et al.</i>	713	100	
	2J	7,529,675	05/05/2009	Maes	704	270.1	
	2K	7,542,894	06/02/2009	Murata	704	9	
	2L	7,546,382	06/09/2009	Healey <i>et al.</i>	709	246	
	2M	7,640,006	12/29/2009	Portman <i>et al.</i>	455	412.1	
	2N	7,640,272	12/29/2009	Mahajan <i>et al.</i>	707	104.1	
	2O	7,729,916	06/01/2010	Coffman <i>et al.</i>	704	270	
	2P	7,748,021	06/29/2010	Obradovich	725	105	
	2Q	7,801,731	09/21/2010	Odinak <i>et al.</i>	704	275	
	2R	7,831,426	11/09/2010	Bennett	704	252	
	2S	7,873,519	01/18/2011	Bennett	704	257	
	2T	7,881,936	02/01/2011	Longe <i>et al.</i>	704	257	
	2U	7,890,324	02/15/2011	Bangalore <i>et al.</i>	704	231	
	2V	7,920,682	04/05/2011	Byrne <i>et al.</i>	379	88.18	
	2W	7,953,732	05/31/2011	Frank <i>et al.</i>	707	724	

FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		

EXAMINER	DATE CONSIDERED

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

INFORMATION DISCLOSURE CITATION IN AN APPLICATION					Docket Number		Application Number	
					090611-0399090		13/251,712	
					Applicant(s)			
					Larry BALDWIN <i>et al.</i>			
					Filing Date		Group Art Unit	
Form PTO-1449					October 3, 2011		2658	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3A	7,984,287	07/19/2011	Gopalakrishnan <i>et al.</i>	713	100	
	3B	8,005,683	08/23/2011	Tessel <i>et al.</i>	704	275	
	3C	8,077,975	12/13/2011	Ma <i>et al.</i>	382	187	
	3D	8,082,153	12/20/2011	Coffman <i>et al.</i>	704	270	
	3E	8,170,867	05/01/2012	Germain	704	9	
	3F	8,219,399	07/10/2012	Lutz <i>et al.</i>	704	270	
	3G	8,219,599	07/10/2012	Tunstall-Pedoe	707	955	
	3H	8,224,652	07/17/2012	Wang <i>et al.</i>	704	275	
	3I	8,255,224	08/28/2012	Singleton <i>et al.</i>	704	275	
	3J	8,326,627	12/04/2012	Kennewick <i>et al.</i>	704	257	
	3K	8,326,634	12/04/2012	Di Cristo <i>et al.</i>	704	270.1	
	3L	8,326,637	12/04/2012	Baldwin <i>et al.</i>	704	275	
	3M	8,332,224	12/11/2012	Di Cristo <i>et al.</i>	704	257	
	3N	8,370,147	02/05/2013	Kennewick <i>et al.</i>	704	257	
	3O	2001/0054087	12/20/2001	Flom <i>et al.</i>	709	218	
	3P	2002/0029261	03/07/2002	Shibata	709	219	
	3Q	2002/0032752	03/14/2002	Gold <i>et al.</i>	709	218	
	3R	2002/0087326	07/04/2002	Lee <i>et al.</i>	704	270.1	
	3S	2002/0143532	10/03/2002	McLean <i>et al.</i>	704	235	
	3T	2002/0173961	11/21/2002	Guerra	704	258	
	3U	2002/0184373	12/05/2002	Maes	709	228	
	3V	2003/0065427	04/03/2003	Funk <i>et al.</i>	701	1	
	3W	2003/0161448	08/28/2003	Parolkar <i>et al.</i>	379	88.17	

FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		

EXAMINER	DATE CONSIDERED

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

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number	
				090611-0399090		13/251,712	
				Applicant(s)			
				Larry BALDWIN <i>et al.</i>			
				Filing Date		Group Art Unit	
Form PTO-1449				October 3, 2011		2658	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4A	2003/0212558	11/13/2003	Matula	704	260	
	4B	2003/0212562	11/13/2003	Patel <i>et al.</i>	704	275	
	4C	2003/0225825	12/04/2003	Healey <i>et al.</i>	709	203	
	4D	2004/0117804	06/17/2004	Scahill <i>et al.</i>	719	320	
	4E	2004/0140989	07/22/2004	Papageorge	345	700	
	4F	2004/0158555	08/12/2004	Seedman <i>et al.</i>	707	3	
	4G	2005/0021470	01/27/2005	Martin <i>et al.</i>	705	51	
	4H	2005/0125232	06/09/2005	Gadd	704	270.1	
	4I	2005/0216254	09/29/2005	Gupta <i>et al.</i>	704	9	
	4J	2005/0234727	10/20/2005	Chiu	704	270.1	
	4K	2005/0283752	12/22/2005	Fruchter <i>et al.</i>	717	100	
	4L	2006/0041431	02/23/2006	Maes	704	270.1	
	4M	2006/0047509	03/02/2006	Ding <i>et al.</i>	704	231	
	4N	2006/0217133	09/28/2006	Christenson <i>et al.</i>	455	461	
	4O	2006/0285662	12/21/2006	Yin <i>et al.</i>	379	88.16	
	4P	2007/0043868	02/22/2007	Kumar <i>et al.</i>	709	226	
	4Q	2007/0135101	06/14/2007	Ramati <i>et al.</i>	455	414.1	
	4R	2007/0146833	06/28/2007	Satomi <i>et al.</i>	358	537	
	4S	2007/0198267	08/23/2007	Jones <i>et al.</i>	704	257	
	4T	2008/0034032	02/07/2008	Healey <i>et al.</i>	709	203	
	4U	2008/0147410	06/19/2008	Odinak	704	270.1	
	4V	2009/0052635	02/26/2009	Jones <i>et al.</i>	379	88.02	
	4W	2009/0076827	03/19/2009	Bulitta <i>et al.</i>	704	275	
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

[illegible]

Electronic Patent Application Fee Transmittal				
Application Number:		13251712		
Filing Date:		03-Oct-2011		
Title of Invention:		SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		
First Named Inventor/Applicant Name:		Larry BALDWIN		
Filer:		Jean-Paul Hoffman/Miriam Nelsen Awan		
Attorney Docket Number:		090611-0399090		
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:				
RCE - 2nd and Subsequent Request	2820	1	850	850
Total in USD (\$)				850

Electronic Acknowledgement Receipt

EFS ID:	15774354
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	909
Filer:	Jean-Paul Hoffman/Miriam Nelsen Awan
Filer Authorized By:	Jean-Paul Hoffman
Attorney Docket Number:	090611-0399090
Receipt Date:	14-MAY-2013
Filing Date:	03-OCT-2011
Time Stamp:	16:16:00
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 850
RAM confirmation Number	3280
Deposit Account	033975
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		090611-0399090_RCE_IDS.pdf	454486 933c80c3034aed6c5a4fd07991f89ba3b515e2ac	yes	8
Multipart Description/PDF files in .zip description					
Document Description		Start		End	
Request for Continued Examination (RCE)		1		1	
Transmittal Letter		2		3	
Information Disclosure Statement (IDS) Form (SB08)		4		8	

Warnings:

Information:

2	Fee Worksheet (SB06)	fee-info.pdf	30516 2d80669b71b6bd7d9223008d3da31d5cc3b48c36	no	2
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Warnings:

Information:

Total Files Size (in bytes):			485002
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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.



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

909 7590 06/11/2013
Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

EXAMINER	
YEN, ERIC L	
ART UNIT	PAPER NUMBER
2658	

DATE MAILED: 06/11/2013

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136

TITLE OF INVENTION: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	\$890	\$300	\$0	\$1190	09/11/2013

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

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

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

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

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

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

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

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)

909 7590 06/11/2013
Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

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

Certificate of Mailing or Transmission

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

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

13/251,712 10/03/2011 Larry BALDWIN 090611-0399090 2136

TITLE OF INVENTION: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	\$890	\$300	\$0	\$1190	09/11/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
YEN, ERIC L	2658	704-275000

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

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

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document 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)

- ☐ Applicant certifying micro entity status. See 37 CFR 1.29
- ☐ Applicant asserting small entity status. See 37 CFR 1.27
- ☐ Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see form PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: 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.

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.



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136
909 7590 06/11/2013 Pillsbury Winthrop Shaw Pittman, LLP (NV) PO Box 10500 McLean, VA 22102			EXAMINER YEN, ERIC L	
			ART UNIT 2658	PAPER NUMBER

DATE MAILED: 06/11/2013

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 0 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 0 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. 13/251,712	Applicant(s) BALDWIN ET AL.	
	Examiner ERIC YEN	Art Unit 2658	AIA (First Inventor to File) Status No

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

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

1. ☒ This communication is responsive to IDS filed 5/14/13.
☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.
2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
3. ☒ The allowed claim(s) is/are 16-20, 22-30. 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/oph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

Certified copies:

- a) ☐ All b) ☐ Some *c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- * Certified copies not received: _____.

Interim copies:

- a) ☐ All b) ☐ Some c) ☐ None of the: Interim copies of the priority documents have been 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) | 5. ☐ Examiner's Amendment/Comment |
| 2. ☒ Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date _____ | 6. ☐ Examiner's Statement of Reasons for Allowance |
| 3. ☐ Examiner's Comment Regarding Requirement for Deposit
of Biological Material | 7. ☐ Other _____. |
| 4. ☐ Interview Summary (PTO-413),
Paper No./Mail Date _____. | |

/Eric Yen/
Primary Examiner, Art Unit 2658

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	13/251,712
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	October 3, 2011	2658

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1A	5,855,000	12/29/1998	Waibel <i>et al.</i>	704	235	
	1B	5,892,900	04/06/1999	Ginter <i>et al.</i>	395	186	
	1C	6,076,059	06/13/2000	Glickman <i>et al.</i>	704	260	
	1D	6,122,613	09/19/2000	Baker	704	235	
	1E	6,236,968	05/22/2001	Kanevsky <i>et al.</i>	704	275	
	1F	6,301,560	10/09/2001	Masters	704	251	
	1G	6,356,869	03/12/2002	Chapados <i>et al.</i>	704	275	
	1H	6,393,403	05/21/2002	Majaniemi	704	275	
	1I	6,505,155	01/07/2003	Vanbuskirk <i>et al.</i>	704	246	
	1J	6,571,279	05/27/2003	Herz <i>et al.</i>	709	217	
	1K	6,578,022	06/10/2003	Foulger <i>et al.</i>	706	45	
	1L	6,584,439	06/24/2003	Geilhufe <i>et al.</i>	704	270	
	1M	6,601,026	07/29/2003	Appelt <i>et al.</i>	704	9	
	1N	6,704,396	03/09/2004	Parolkar <i>et al.</i>	379	88.17	
	1O	6,704,576	03/09/2004	Brachman <i>et al.</i>	455	503	
	1P	6,745,161	06/01/2004	Arnold <i>et al.</i>	704	7	
	1Q	6,754,627	06/22/2004	Woodward	704	235	
	1R	6,850,603	02/01/2005	Eberle <i>et al.</i>	379	88.16	
	1S	7,027,586	04/11/2006	Bushey <i>et al.</i>	379	265.09	
	1T	7,036,128	04/25/2006	Julia <i>et al.</i>	719	317	
	1U	7,107,218	09/12/2006	Preston	704	270	
	1V	7,130,390	10/31/2006	Abburi	379	88.17	
	1W	7,190,770	03/13/2007	Ando <i>et al.</i>	379	88.01	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	/E. Yen/	DATE CONSIDERED	05/16/2013
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.			

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number		
				090611-0399090		13/251,712		
				Applicant(s)				
				Larry BALDWIN <i>et al.</i>				
				Filing Date		Group Art Unit		
October 3, 2011				2658				
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE, IF APPROPRIATE	
	2A	7,197,460	03/27/2007	Gupta <i>et al.</i>	704	270.1		
	2B	7,272,212	09/18/2007	Eberle <i>et al.</i>	379	88.17		
	2C	7,283,829	10/16/2007	Christenson <i>et al.</i>	455	461		
	2D	7,283,951	10/16/2007	Marchisio <i>et al.</i>	704	9		
	2E	7,299,186	11/20/2007	Kuzunuki <i>et al.</i>	704	270.1		
	2F	7,321,850	01/22/2008	Wakita	704	10		
	2G	7,366,285	04/29/2008	Parolkar <i>et al.</i>	379	88.17		
	2H	7,421,393	09/02/2008	Di Fabrizio <i>et al.</i>	704	275		
	2I	7,454,608	11/18/2008	Gopalakrishnan <i>et al.</i>	713	100		
	2J	7,529,675	05/05/2009	Maes	704	270.1		
	2K	7,542,894	06/02/2009	Murata	704	9		
	2L	7,546,382	06/09/2009	Healey <i>et al.</i>	709	246		
	2M	7,640,006	12/29/2009	Portman <i>et al.</i>	455	412.1		
	2N	7,640,272	12/29/2009	Mahajan <i>et al.</i>	707	104.1		
	2O	7,729,916	06/01/2010	Coffman <i>et al.</i>	704	270		
	2P	7,748,021	06/29/2010	Obradovich	725	105		
	2Q	7,801,731	09/21/2010	Odinak <i>et al.</i>	704	275		
	2R	7,831,426	11/09/2010	Bennett	704	252		
	2S	7,873,519	01/18/2011	Bennett	704	257		
	2T	7,881,936	02/01/2011	Longe <i>et al.</i>	704	257		
	2U	7,890,324	02/15/2011	Bangalore <i>et al.</i>	704	231		
	2V	7,920,682	04/05/2011	Byrne <i>et al.</i>	379	88.18		
	2W	7,953,732	05/31/2011	Frank <i>et al.</i>	707	724		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.								

INFORMATION DISCLOSURE CITATION IN AN APPLICATION					Docket Number		Application Number	
					090611-0399090		13/251,712	
					Applicant(s)			
					Larry BALDWIN <i>et al.</i>			
					Filing Date		Group Art Unit	
Form PTO-1449					October 3, 2011		2658	
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	3A	7,984,287	07/19/2011	Gopalakrishnan <i>et al.</i>	713	100		
	3B	8,005,683	08/23/2011	Tessel <i>et al.</i>	704	275		
	3C	8,077,975	12/13/2011	Ma <i>et al.</i>	382	187		
	3D	8,082,153	12/20/2011	Coffman <i>et al.</i>	704	270		
	3E	8,170,867	05/01/2012	Germain	704	9		
	3F	8,219,399	07/10/2012	Lutz <i>et al.</i>	704	270		
	3G	8,219,599	07/10/2012	Tunstall-Pedoe	707	955		
	3H	8,224,652	07/17/2012	Wang <i>et al.</i>	704	275		
	3I	8,255,224	08/28/2012	Singleton <i>et al.</i>	704	275		
	3J	8,326,627	12/04/2012	Kennewick <i>et al.</i>	704	257		
	3K	8,326,634	12/04/2012	Di Cristo <i>et al.</i>	704	270.1		
	3L	8,326,637	12/04/2012	Baldwin <i>et al.</i>	704	275		
	3M	8,332,224	12/11/2012	Di Cristo <i>et al.</i>	704	257		
	3N	8,370,147	02/05/2013	Kennewick <i>et al.</i>	704	257		
	3O	2001/0054087	12/20/2001	Flom <i>et al.</i>	709	218		
	3P	2002/0029261	03/07/2002	Shibata	709	219		
	3Q	2002/0032752	03/14/2002	Gold <i>et al.</i>	709	218		
	3R	2002/0087326	07/04/2002	Lee <i>et al.</i>	704	270.1		
	3S	2002/0143532	10/03/2002	McLean <i>et al.</i>	704	235		
	3T	2002/0173961	11/21/2002	Guerra	704	258		
	3U	2002/0184373	12/05/2002	Maes	709	228		
	3V	2003/0065427	04/03/2003	Funk <i>et al.</i>	701	1		
	3W	2003/0161448	08/28/2003	Parolkar <i>et al.</i>	379	88.17		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
EXAMINER _____ DATE CONSIDERED _____								
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.								

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	090611-0399090	13/251,712
	Applicant(s)	
	Larry BALDWIN <i>et al.</i>	
	Filing Date	Group Art Unit
	October 3, 2011	2658

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4A	2003/0212558	11/13/2003	Matula	704	260	
	4B	2003/0212562	11/13/2003	Patel <i>et al.</i>	704	275	
	4C	2003/0225825	12/04/2003	Healey <i>et al.</i>	709	203	
	4D	2004/0117804	06/17/2004	Scahill <i>et al.</i>	719	320	
	4E	2004/0140989	07/22/2004	Papageorge	345	700	
	4F	2004/0158555	08/12/2004	Seedman <i>et al.</i>	707	3	
	4G	2005/0021470	01/27/2005	Martin <i>et al.</i>	705	51	
	4H	2005/0125232	06/09/2005	Gadd	704	270.1	
	4I	2005/0216254	09/29/2005	Gupta <i>et al.</i>	704	9	
	4J	2005/0234727	10/20/2005	Chiu	704	270.1	
	4K	2005/0283752	12/22/2005	Fruchter <i>et al.</i>	717	100	
	4L	2006/0041431	02/23/2006	Maes	704	270.1	
	4M	2006/0047509	03/02/2006	Ding <i>et al.</i>	704	231	
	4N	2006/0217133	09/28/2006	Christenson <i>et al.</i>	455	461	
	4O	2006/0285662	12/21/2006	Yin <i>et al.</i>	379	88.16	
	4P	2007/0043868	02/22/2007	Kumar <i>et al.</i>	709	226	
	4Q	2007/0135101	06/14/2007	Ramati <i>et al.</i>	455	414.1	
	4R	2007/0146833	06/28/2007	Satomi <i>et al.</i>	358	537	
	4S	2007/0198267	08/23/2007	Jones <i>et al.</i>	704	257	
	4T	2008/0034032	02/07/2008	Healey <i>et al.</i>	709	203	
	4U	2008/0147410	06/19/2008	Odinak	704	270.1	
	4V	2009/0052635	02/26/2009	Jones <i>et al.</i>	379	88.02	
	4W	2009/0076827	03/19/2009	Bulitta <i>et al.</i>	704	275	

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
/E. Yen/	05/16/2013
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

Issue Classification 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2658

☐ Claims renumbered in the same order as presented by applicant															
☐ CPA															
☐ T.D.															
☐ R.1.47															
Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	16														
2	17														
4	18														
5	19														
6	20														
10	22														
11	23														
12	24														
13	25														
14	26														
7	27														
8	28														
9	29														
3	30														

NONE		Total Claims Allowed:	
(Assistant Examiner)	(Date)	14	
/ERIC YEN/ Primary Examiner.Art Unit 2658	2/1/13	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	16	3

Search Notes 	Application/Control No. 13251712	Applicant(s)/Patent Under Reexamination BALDWIN ET AL.
	Examiner ERIC YEN	Art Unit 2626

CPC- SEARCHED		
Symbol	Date	Examiner

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
704	270-275	1/15/12	EY
704	9, 270-275	2/1/13	EY

SEARCH NOTES		
Search Notes	Date	Examiner
EAST Search (attached)	1/15/12	EY
EAST Search (attached)	7/31/12	EY

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner
704	9, 270-275	2/1/13	EY

--	--

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)

909 7590 06/11/2013
Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

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

Certificate of Mailing or Transmission

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

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090	2136

TITLE OF INVENTION: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	\$890	\$300	\$0	\$1190	09/11/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
YEN, ERIC L	2658	704-275000

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 Pillsbury Winthrop Shaw Pittman LLP
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)

VoiceBox Technologies, Inc.

Bellevue, Washington

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 03-3975 (enclose an extra copy of this form).

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

- ☐ Applicant certifying micro entity status. See 37 CFR 1.29
- ☐ Applicant asserting small entity status. See 37 CFR 1.27
- ☐ Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see form PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: 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 July 22, 2013

Typed or printed name _____

Bradford C. Blaise

Registration No. 47,429

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.

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.

Electronic Patent Application Fee Transmittal				
Application Number:		13251712		
Filing Date:		03-Oct-2011		
Title of Invention:		SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		
First Named Inventor/Applicant Name:		Larry BALDWIN		
Filer:		Bradford C. Blaise/Susan Trader		
Attorney Docket Number:		090611-0399090		
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:				
Utility Appl Issue Fee	2501	1	890	890
Publ. Fee- Early, Voluntary, or Normal	1504	1	300	300

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				1190

Electronic Acknowledgement Receipt

EFS ID:	16375785
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	909
Filer:	Bradford C. Blaise/Susan Trader
Filer Authorized By:	Bradford C. Blaise
Attorney Docket Number:	090611-0399090
Receipt Date:	22-JUL-2013
Filing Date:	03-OCT-2011
Time Stamp:	13:48:03
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 1190
RAM confirmation Number	52
Deposit Account	033975
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	Issue Fee Payment (PTO-85B)	0399090_IssueFee.pdf	114518 d3de18e85e3df054d0743c726e4bfe971ab70276	no	2
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	31925 d4c43ead0ef85dc0fba9dbbd9efa0cd8e9aff636	no	2
Warnings:					
Information:					
Total Files Size (in bytes):			146443		
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 NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	08/20/2013	8515765	090611-0399090	2136

909 7590 07/31/2013
Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

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

The Patent Term Adjustment is 0 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

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

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

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

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

Larry BALDWIN, Maple Valley, WA;
Tom Freeman, Mercer Island, WA;
Michael Tjalve, Bellevue, WA;
Blane Ebersold, Seattle, WA;
Chris Weider, Everett, WA;

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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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:

133759

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:

133759

OR

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

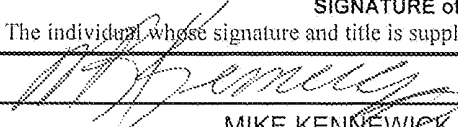
Assignee Name and Address:

VOICEBOX TECHNOLOGIES CORPORATION
 11980 NE 24th Street, Suite 100
 Bellevue, WA 98005

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
Name	MIKE KENNEWICK	Telephone
Title	CEO OF VOICEBOX TECHNOLOGIES CORPORATION	

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.

Electronic Acknowledgement Receipt

EFS ID:	24028519
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	909
Filer:	James G. Gatto/Todd Yarborough
Filer Authorized By:	James G. Gatto
Attorney Docket Number:	090611-0399090
Receipt Date:	09-NOV-2015
Filing Date:	03-OCT-2011
Time Stamp:	16:56:51
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		VoiceBox_373b_POA_45HV_218182.pdf	736082 dbefcddb861de7475e8a504fe110379179ab75d	yes	4

	Multipart Description/PDF files in .zip description		
	Document Description	Start	End
	Assignee showing of ownership per 37 CFR 3.73	1	3
	Power of Attorney	4	4
Warnings:			
Information:			
Total Files Size (in bytes):		736082	
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.			

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(c)Applicant/Patent Owner: Larry BALDWIN et al.Application No./Patent No.: 13/251,712Filed/Issue Date: October 3, 2011Titled: SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

Voicebox Technologies Corporation, a corporation

(Name of Assignee)

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

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

1. ☒ The assignee of the entire right, title, and interest.
2. ☐ An assignee of less than the entire right, title, and interest (check applicable box):
- ☐ The extent (by percentage) of its ownership interest is ____%. Additional Statement(s) by the owners holding the balance of the interest must be submitted to account for 100% of the ownership interest.
- ☐ There are unspecified percentages of ownership. The other parties, including inventors, who together own the entire right, title and interest are:

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

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

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

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

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

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Larry BALDWIN et al. To: Voicebox Technologies, Inc.The document was recorded in the United States Patent and Trademark Office at
Reel 027006, Frame 0872, or for which a copy thereof is attached.2. From: Voicebox Technologies, Inc. To: Voicebox Technologies CorporationThe document was recorded in the United States Patent and Trademark Office at
Reel 032620, Frame 0956, or for which a copy thereof is attached.

[Page 1 of 2]

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.

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(c)

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
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4. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
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6. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet(s).☐ As required by 37 CFR 3.73(c)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

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

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

/James G. Gatto/

Signature

James G. Gatto

Printed or Typed Name

November 9, 2015

Date

32,694

Title or Registration Number

[Page 2 of 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.



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
13/251,712	10/03/2011	Larry BALDWIN	

133759
Sheppard Mullin Richter & Hampton LLP
12275 El Camino Real, Suite 200
San Diego, CA 92130

CONFIRMATION NO. 2136
POA ACCEPTANCE LETTER



Date Mailed: 11/20/2015

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 11/09/2015.

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

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

/dtvernon/



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
13/251,712	10/03/2011	Larry BALDWIN	090611-0399090

CONFIRMATION NO. 2136

POWER OF ATTORNEY NOTICE



Date Mailed: 11/20/2015

909
Pillsbury Winthrop Shaw Pittman, LLP (NV)
PO Box 10500
McLean, VA 22102

NOTICE REGARDING CHANGE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 11/09/2015.

- 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).

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

/dtvernon/

Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No. 13/251,712
Patent No. 8,515,765
Attorney Docket No.: 62KC-218182

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Larry BALDWIN <i>et al.</i>	CONFIRMATION No.:	2136
SERIAL NUMBER :	13/251,712	PATENT No.:	8,515,765
FILING DATE :	October 3, 2011	ISSUE DATE:	August 20, 2013
FOR :	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		

DEFICIENCY PAYMENT UNDER 37 C.F.R. § 1.28(c)

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

Sir:

This paper is being submitted to address a good faith error in payment of small entity fees. In this application, small entity status was established in good faith, and fees as a small entity were paid in good faith. It was later discovered that such status as a small entity was established in error. As such, Applicant believes small entity status is no longer appropriate in the instant application. Applicant notes that the erroneous payments of small entity fees were made inadvertently, without deceptive intent.

Pursuant to 37 C.F.R. § 1.28(c)(1)-(2), the fees paid in error and an itemization of the deficiencies owed for each previous fee erroneously paid as a small entity is attached as **APPENDIX A**, including an itemization of the requirements of 37 C.F.R. § 1.28(c)(2)(ii).

Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No. 13/251,712
Patent No. 8,515,765
Attorney Docket No.: 62KC-218182

Accordingly, pursuant to 37 C.F.R. § 1.28(c), Applicant requests that the Commissioner excuse the good faith error in payment of small entity fees, and charge the deficiency payment owed, which is calculated to be **\$5,770.00**, to Deposit Account No. 504561 (Ref. No. **62KC-218182**).

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

Customer No.
133759

By /Mark A. Patrick/
Mark A. Patrick
Registration No.: 72,958

2099 Pennsylvania Avenue, NW
Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-2192

Dated: June 5, 2019

Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No.: 13/251,712
Patent No.: 8,515,765
Attorney Docket No.: 62KC-218182

APPENDIX A **ITEMIZATION OF DEFICIENCY PAYMENTS**

DEFICIENT PAYMENT	TYPE OF FEE ERRONEOUSLY PAID AS SMALL ENTITY 37 C.F.R. 1.28(c)(2)(ii)(A)	CURRENT FEE FOR NON-SMALL ENTITY 37 C.F.R. 1.28(c)(2)(ii)(A)	SMALL ENTITY FEE ACTUALLY PAID 37 C.F.R. 1.28(c)(2)(ii)(B)	DATE SMALL ENTITY FEE PAID 37 C.F.R. 1.28(c)(2)(ii)(B)	DEFICIENCY OWED 37 C.F.R. 1.28(c)(2)(ii)(C)
FIRST DEFICIENT PAYMENT	Basic Filing Fee – Utility (electronic filing for small entities) – Fee Code 4011	\$300.00	\$95.00	Application filed October 3, 2011	\$300.00 - \$95.00 = <u>\$205.00</u>
SECOND DEFICIENT PAYMENT	Utility Search Fee – Fee Code 2111	\$660.00	\$310.00	Application filed October 3, 2011	\$660.00 - \$310.00 = <u>\$350.00</u>
THIRD DEFICIENT PAYMENT	Utility Examination Fee – Fee Code 2311	\$760.00	\$125.00	Application filed October 3, 2011	\$760.00 - \$125.00 = <u>\$635.00</u>
FOURTH DEFICIENT PAYMENT	6 Claims in excess of 20 – Fee Code 2202	\$600.00	\$180.00	Application filed October 3, 2011	\$600.00 - \$180.00 = <u>\$420.00</u>
FIFTH DEFICIENT PAYMENT	1 Independent claims in excess of 3 – Fee Code 2201	\$460.00	\$125.00	Application filed October 3, 2011	\$460.00 - \$125.00 = <u>\$335.00</u>
SIXTH DEFICIENT PAYMENT	2 Claims in excess of 20 – Fee Code 2202	\$200.00	\$60.00	Response filed July 19, 2012	\$200.00 - \$60.00 = <u>\$140.00</u>
SEVENTH DEFICIENT PAYMENT	Extension – 3 months with \$0 paid – Fee Code 2253	\$1,400.00	\$635.00	Response filed July 19, 2012	\$1,400.00 - \$635.00 = <u>\$765.00</u>
EIGHTH DEFICIENT PAYMENT	Request for Continued Examination – Fee Code 2801	\$1,300.00	\$465.00	Response filed November 27, 2012	\$1,300.00 - \$465.00 = <u>\$835.00</u>

SMRH:4827-8384-7064.1

Deficiency Payment Under 37 C.F.R. § 1.28(c)
 Application Serial No.: 13/251,712
 Patent No.: 8,515,765
 Attorney Docket No.: 62KC-218182

NINTH DEFICIENT PAYMENT	Extension – 1 month with \$0 paid – Fee Code 2251	\$200.00	\$75.00	Response filed November 27, 2012	\$200.00 - \$75.00 = <u>\$125.00</u>
TENTH DEFICIENT PAYMENT	Request for Continued Examination – Fee Code 2820	\$1,900.00	\$850.00	Response filed May 14, 2013	\$1,900.00 - \$850.00 = <u>\$1,050.00</u>
ELEVENTH DEFICIENT PAYMENT	Utility Issue Fee – Fee Code 2501	\$1,000.00	\$890.00	Issue Fee paid July 22, 2013	\$1,000.00 - \$890.00 = <u>\$110.00</u>
TWELFTH DEFICIENT PAYMENT	3.5-Year Maintenance Fee – Fee Code 2551	\$1,600.00	\$800.00	Maintenance Fee paid February 9, 2017	\$1,600.00 - \$800.00 = <u>\$800.00</u>
TOTAL DEFICIENCY PAYMENT OWED 37 C.F.R. 1.28(c)(2)(ii)(D)	$\$205.00 + \$350.00 + \$635.00 + \$420.00 + \$335.00 + \$140.00 + \$765.00 + \$835.00 + \$125.00 + \$1,050.00 + \$110.00 + \$800.00 = \underline{\underline{\$5,770.00}}$ Total Deficiency Owed				

SMRH:4827-8384-7064.1

United States Patent and Trademark Office

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06/07/2019 DALLEN 00000018 504561 13251712

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United States Patent and Trademark Office

- Sales Receipt -

06/07/2019 DALLEN 00000019 504561 8515765

01 FC:1599 800.00 DA



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	REQUEST ID
13/251,712	10/03/2011	Larry BALDWIN	62KC-218182	89170

Acknowledgement of Loss of Entitlement to Entity Status Discount

The entity status change request below filed through Private PAIR on 06/05/2019 has been accepted.

CERTIFICATIONS:

Change of Entity Status:

☒ Applicant changing to regular undiscounted fee status.

NOTE: Checking this box will be taken to be notification of loss of entitlement to small or micro entity status, as applicable.

This portion must be completed by the signatory or signatories making the entity status change in accordance with 37 CFR 1.4(d)(4).

Signature:	/Mark A. Patrick/
Name:	Mark A. Patrick
Registration Number:	72958

Document code: WFEE

United States Patent and Trademark Office
Sales Receipt for Accounting Date: 07/19/2019

CKHLOK	ADJ #00000005	Mailroom Dt: 06/05/2019		
	Seq No: 18	Sales Acctg Dt: 06/07/2019	504561	13251712
	01 FC : 1599	4970.00 CR		

Document code: WFEE

United States Patent and Trademark Office
Sales Receipt for Accounting Date: 07/19/2019

CKHLOK	ADJ #00000006	Mailroom Dt: 06/05/2019	
	Seq No: 19	Sales Acctg Dt: 06/07/2019	13251712
	01 FC : 1599	800.00 CR	

Petition to Expedite Under 37 C.F.R. § 1.182
Application Serial No.: 13/251,712
Patent No. 8,515,765
Attorney Docket No.: 62KC-218182

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS : Larry BALDWIN *et al.* CONFIRMATION No.: 2136
SERIAL NUMBER : 13/251,712 PATENT No.: 8,515,765
FILING DATE : October 3, 2011 ISSUE DATE: August 20, 2013
FOR : SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE

PETITION TO EXPEDITE UNDER 37 C.F.R. § 1.182

Office of Petitions
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

This is a Petition to Expedite Under 37 C.F.R. § 1.182 to expedite the processing of the Deficiency Payment Under 37 C.F.R. § 1.28(c) filed herewith.

Please charge the processing fee required under 37 C.F.R. § 1.17(f) in the amount of \$400.00 for this Petition to Expedite to Deposit Account No. 504561 (Ref. No. **62KC-218182**). Please contact the undersigned by telephone if there are any questions regarding this matter.

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

Customer No.
133759

By /Mark A. Patrick/
Mark A. Patrick
Registration No.: 72,958

2099 Pennsylvania Avenue, NW
Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-2192

Dated: June 5, 2019

Electronic Patent Application Fee Transmittal				
Application Number:		13251712		
Filing Date:		03-Oct-2011		
Title of Invention:		SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		
First Named Inventor/Applicant Name:		Larry BALDWIN		
Filer:		Mark Andrew Patrick/Diane Bogusz		
Attorney Docket Number:		62KC-218182		
Filed as Large Entity				
Filing Fees for Utility under 35 USC 111(a)				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
PETITION FEE- 37 CFR 1.17(F) (GROUP I)	1462	1	400	400
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				400

Electronic Acknowledgement Receipt

EFS ID:	36215146
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Diane Bogusz
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-218182
Receipt Date:	05-JUN-2019
Filing Date:	03-OCT-2011
Time Stamp:	17:41:19
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	\$400
RAM confirmation Number	060619INTEFSW00004738504561
Deposit Account	
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Notification of loss of entitlement to small entity status	62KC-218182_Deficiency_Payment.pdf	149131	no	4
			9054c46434b2361bcd701d55df77e94342b1a197		
Warnings:					
Information:					
2	Petition for review by the Office of Petitions	62KC-218182_Petition_to_Exp edite.pdf	111950	no	1
			324d688ffa89c169fa76452b5ae5736cb935d413		
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30753	no	2
			5eb5136045a3bb7666b8edf166c56a8c39c89d69		
Warnings:					
Information:					
Total Files Size (in bytes):			291834		
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.					

Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No. 13/251,712
Patent No. 8,515,765
Attorney Docket No.: 62KC-218182

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Larry BALDWIN <i>et al.</i>	CONFIRMATION No.:	2136
SERIAL NUMBER :	13/251,712	PATENT No.:	8,515,765
FILING DATE :	October 3, 2011	ISSUE DATE:	August 20, 2013
FOR :	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		

DEFICIENCY PAYMENT UNDER 37 C.F.R. § 1.28(c)

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

Sir:

This paper is being submitted to address a good faith error in payment of small entity fees. In this application, small entity status was established in good faith, and fees as a small entity were paid in good faith. It was later discovered that such status as a small entity was established in error. As such, Applicant believes small entity status is no longer appropriate in the instant application. Applicant notes that the erroneous payments of small entity fees were made inadvertently, without deceptive intent.

Pursuant to 37 C.F.R. § 1.28(c)(1)-(2), the fees paid in error and an itemization of the deficiencies owed for each previous fee erroneously paid as a small entity is attached as **APPENDIX A**, including an itemization of the requirements of 37 C.F.R. § 1.28(c)(2)(ii).

Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No. 13/251,712
Patent No. 8,515,765
Attorney Docket No.: 62KC-218182

Accordingly, pursuant to 37 C.F.R. § 1.28(c), Applicant requests that the Commissioner excuse the good faith error in payment of small entity fees, and charge the deficiency payment owed, which is calculated to be **\$5,770.00**, to Deposit Account No. 504561 (**Ref. No. 62KC-218182**).

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

Customer No.
133759

By /Mark A. Patrick/
Mark A. Patrick
Registration No.: 72,958

2099 Pennsylvania Avenue, NW
Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-2192

Dated: June 5, 2019

Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No.: 13/251,712
Patent No.: 8,515,765
Attorney Docket No.: 62KC-218182

APPENDIX A
ITEMIZATION OF DEFICIENCY PAYMENTS

DEFICIENT PAYMENT	TYPE OF FEE ERRONEOUSLY PAID AS SMALL ENTITY 37 C.F.R. 1.28(c)(2)(ii)(A)	CURRENT FEE FOR NON-SMALL ENTITY 37 C.F.R. 1.28(c)(2)(ii)(A)	SMALL ENTITY FEE ACTUALLY PAID 37 C.F.R. 1.28(c)(2)(ii)(B)	DATE SMALL ENTITY FEE PAID 37 C.F.R. 1.28(c)(2)(ii)(B)	DEFICIENCY OWED 37 C.F.R. 1.28(c)(2)(ii)(C)
FIRST DEFICIENT PAYMENT	Basic Filing Fee – Utility (electronic filing for small entities) – Fee Code 4011	\$300.00	\$95.00	Application filed October 3, 2011	\$300.00 - \$95.00 = <u>\$205.00</u>
SECOND DEFICIENT PAYMENT	Utility Search Fee – Fee Code 2111	\$660.00	\$310.00	Application filed October 3, 2011	\$660.00 - \$310.00 = <u>\$350.00</u>
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FOURTH DEFICIENT PAYMENT	6 Claims in excess of 20 – Fee Code 2202	\$600.00	\$180.00	Application filed October 3, 2011	\$600.00 - \$180.00 = <u>\$420.00</u>
FIFTH DEFICIENT PAYMENT	1 Independent claims in excess of 3 – Fee Code 2201	\$460.00	\$125.00	Application filed October 3, 2011	\$460.00 - \$125.00 = <u>\$335.00</u>
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EIGHTH DEFICIENT PAYMENT	Request for Continued Examination – Fee Code 2801	\$1,300.00	\$465.00	Response filed November 27, 2012	\$1,300.00 - \$465.00 = <u>\$835.00</u>

SMRH:4827-8384-7064.1

Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No.: 13/251,712
Patent No.: 8,515,765
Attorney Docket No.: 62KC-218182

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TENTH DEFICIENT PAYMENT	Request for Continued Examination – Fee Code 2820	\$1,900.00	\$850.00	Response filed May 14, 2013	\$1,900.00 - \$850.00 = <u>\$1,050.00</u>
ELEVENTH DEFICIENT PAYMENT	Utility Issue Fee – Fee Code 2501	\$1,000.00	\$890.00	Issue Fee paid July 22, 2013	\$1,000.00 - \$890.00 = <u>\$110.00</u>
TWELFTH DEFICIENT PAYMENT	3.5-Year Maintenance Fee – Fee Code 2551	\$1,600.00	\$800.00	Maintenance Fee paid February 9, 2017	\$1,600.00 - \$800.00 = <u>\$800.00</u>
TOTAL DEFICIENCY PAYMENT OWED 37 C.F.R. 1.28(c)(2)(ii)(D)	\$205.00 + \$350.00 + \$635.00 + \$420.00 + \$335.00 + \$140.00 + \$765.00 + \$835.00 + \$125.00 + \$1,050.00 + \$110.00 + \$800.00 = <u>\$5,770.00</u> Total Deficiency Owed				

SMRH:4827-8384-7064.1



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
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	62KC-218182	2136
133759	7590	07/03/2019	EXAMINER	
Sheppard Mullin Richter & Hampton LLP			YEN, ERIC L	
650 Town Center Drive, 10th Floor			ART UNIT	
Costa Mesa, CA 92626			PAPER NUMBER	
			2658	
			NOTIFICATION DATE	
			DELIVERY MODE	
			07/03/2019	
			ELECTRONIC	

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

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

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

SheppardMullin_Pair@firsttofile.com
dmipdocketing@sheppardmullin.com



UNITED STATES PATENT AND TRADEMARK OFFICE

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

In re Application of :
BALDWIN et al. :
Application No. 13/251,712 :
Filed: 3 Oct 2011 : **DECISION ON PETITION**
For: SYSTEM AND METHOD FOR A :
COOPERATIVE CONVERSATIONAL :
VOICE USER INTERFACE :

This is a decision in response to the petition under 37 CFR 1.182, filed June 5, 2019 to expedite consideration of a simultaneously filed petition, for acceptance of a fee deficiency submission under 37 CFR 1.28(c).

The file does not indicate a change of address has been submitted, although the address given on the petition differs from the address of record. If appropriate, a change of address should be filed in accordance with MPEP 601.03. A courtesy copy of this decision is being mailed to the address given on the petition; however, the Office will mail all future correspondence solely to the address of record.

The petition under 37 CFR 1.182 is **GRANTED**. A decision on the request for acceptance of a fee deficiency under 37 CFR 1.28(c) follows.

Your fee deficiency submission under 37 CFR 1.28(c) is hereby **DISMISSED**.

It is noted that an itemization of the fee deficiency was submitted; however, the calculation of the deficiency owed is not in compliance with the requirements of 37 CFR 1.28(c)(2)(i), which reads:

(i) *Calculation of the deficiency owed.* The deficiency owed for each previous fee erroneously paid as a small entity is the difference between the current fee amount (for other than a small entity) on the date the deficiency is paid in full and the amount of the previous erroneous (small entity) fee payment. The total deficiency payment owed is the sum of the individual deficiency owed amounts for each fee amount previously erroneously paid as a small entity. Where a fee paid in error as a small entity was subject to a fee decrease between the time the fee was paid in error and the time the deficiency is paid in full, the deficiency owed is equal to the amount (previously) paid in error;” Emphasis added

37 CFR 1.28(c)(2)(ii) goes on to say:

(ii) *Itemization of the deficiency payment.* An itemization of the total deficiency payment is required. The itemization must include the following information:

(A) Each particular type of fee that was erroneously paid as a small entity, (*e.g.*, basic statutory filing fee, two-month extension of time fee) along with the current fee amount for a non-small entity;

(B) The small entity fee actually paid, and when. This will permit the Office to differentiate, for example, between two one-month extension of time fees erroneously paid as a small entity but on different dates;

(C) The deficiency owed amount (for each fee erroneously paid); and

(D) The total deficiency payment owed, which is the sum or total of the individual deficiency owed amounts set forth in paragraph (c)(2)(ii)(C) of this section.

In reviewing the application it is noted, that the issue fee is incorrect since it was paid before the fees was reduce, it is not entitle to the lower amount. (\$1780-\$1000 = \$780 deficient).

Applicant is given **ONE MONTH or THIRTY DAYS**, whichever is longer, from the mailing date of this decision to submit the fees required pursuant to 37 CFR 1.28(2)(i) and a replacement itemized listing of each fee erroneously paid as a small entity in compliance with 37 CFR 1.28(c)(2)(ii). **NO EXTENSION OF TIME UNDER 37 CFR 1.136 IS PERMITTED.**

Further correspondence with respect to this matter should be delivered through one of the following mediums:

By mail: Mail Stop PETITIONS
Commissioner for Patents
Post Office Box 1450
Alexandria, VA 22313-1450

By hand: Customer Service Window
Mail Stop Petitions
Randolph Building
401 Dulany Street
Alexandria, VA 22314

By fax: (571) 273-8300
ATTN: Office of Petitions

By Internet: EFS-Web¹

¹ www.uspto.gov/ebs/efs_help.html (for help using EFS-Web call the Patent Electronic Business Center at (866) 217-9197)

Any questions concerning this matter may be directed to the undersigned at (571) 272-1058.

/Angela Walker/
Angela Walker
Paralegal Specialist
Office of Petitions

cc: Mark A. Patrick
2099 Pennsylvania Ave., NW
Ste. 100
Washington, DC 20006-6801

Transmittal Communication on Petition	Application/Control No. 13/251,712	Applicant(s)/Patent Under Reexamination BALDWIN et al.	
	Deciding Official YEN, ERIC L	Office of Petitions OPET	

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

(ADDITIONAL PARTY'S CORRESPONDENCE ADDRESS)

Mark A. Patrick
2099 Pennsylvania Ave., NW
Ste. 100
Washington, DC 20006-6801

Enclosed is a copy of the latest communication from the United States Patent and Trademark Office in the above-identified Application/Patent.

Document code: WFEE

United States Patent and Trademark Office
Sales Receipt for Accounting Date: 07/19/2019

CKHLOK	SALE	#00000006	Mailroom Dt:	07/09/2019	504561	13251712
		01	FC : 1461	5,750.00	DA	

Document code: WFEE

United States Patent and Trademark Office
Sales Receipt for Accounting Date: 07/19/2019

CKHLOK	SALE	#00000007	Mailroom Dt:	07/09/2019	13251712
		01	FC : 1559	800.00	DA

Corrected Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No. 13/251,712
Patent No. 8,515,765
Attorney Docket No.: 62KC-218182

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Larry BALDWIN <i>et al.</i>	CONFIRMATION No.:	2136
SERIAL NUMBER :	13/251,712	PATENT No.:	8,515,765
FILING DATE :	October 3, 2011	ISSUE DATE:	August 20, 2013
FOR :	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE		

CORRECTED DEFICIENCY PAYMENT UNDER 37 C.F.R. § 1.28(c)

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

Sir:

In response to the Decision on Petition mailed July 3, 2019, this paper is being submitted to address a good faith error in payment of small entity fees. In this application, small entity status was established in good faith, and fees as a small entity were paid in good faith. It was later discovered that such status as a small entity was established in error. As such, Applicant believes small entity status is no longer appropriate in the instant application. Applicant notes that the erroneous payments of small entity fees were made inadvertently, without deceptive intent.

Pursuant to 37 C.F.R. § 1.28(c)(1)-(2), the fees paid in error and an itemization of the deficiencies owed for each previous fee erroneously paid as a small entity is attached as **APPENDIX A**, including an itemization of the requirements of 37 C.F.R. § 1.28(c)(2)(ii).

Corrected Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No. 13/251,712
Patent No. 8,515,765
Attorney Docket No.: 62KC-218182

Accordingly, pursuant to 37 C.F.R. § 1.28(c), Applicant requests that the Commissioner excuse the good faith error in payment of small entity fees, and charge the remaining deficiency payment owed, which is calculated to be **\$780.00**, to Deposit Account No. 504561 (Ref. No. 62KC-218182).

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

Customer No.
133759

By /Mark A. Patrick/
Mark A. Patrick
Registration No.: 72,958

2099 Pennsylvania Avenue, NW
Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-2192

Dated: July 9, 2019

Corrected Deficiency Payment Under 37 C.F.R. § 1.28(c)
Application Serial No.: 13/251,712
Patent No.: 8,515,765
Attorney Docket No.: 62KC-218182

APPENDIX A **ITEMIZATION OF DEFICIENCY PAYMENTS**

DEFICIENT PAYMENT	TYPE OF FEE ERRONEOUSLY PAID AS SMALL ENTITY 37 C.F.R. 1.28(c)(2)(ii)(A)	CURRENT FEE FOR NON-SMALL ENTITY 37 C.F.R. 1.28(c)(2)(ii)(A)	SMALL ENTITY FEE ACTUALLY PAID 37 C.F.R. 1.28(c)(2)(ii)(B)	DATE SMALL ENTITY FEE PAID 37 C.F.R. 1.28(c)(2)(ii)(B)	DEFICIENCY OWED 37 C.F.R. 1.28(c)(2)(ii)(C)
FIRST DEFICIENT PAYMENT	Basic Filing Fee – Utility (electronic filing for small entities) – Fee Code 4011	\$300.00	\$95.00	Application filed October 3, 2011	\$300.00 - \$95.00 = <u>\$205.00</u>
SECOND DEFICIENT PAYMENT	Utility Search Fee – Fee Code 2111	\$660.00	\$310.00	Application filed October 3, 2011	\$660.00 - \$310.00 = <u>\$350.00</u>
THIRD DEFICIENT PAYMENT	Utility Examination Fee – Fee Code 2311	\$760.00	\$125.00	Application filed October 3, 2011	\$760.00 - \$125.00 = <u>\$635.00</u>
FOURTH DEFICIENT PAYMENT	6 Claims in excess of 20 – Fee Code 2202	\$600.00	\$180.00	Application filed October 3, 2011	\$600.00 - \$180.00 = <u>\$420.00</u>
FIFTH DEFICIENT PAYMENT	1 Independent claims in excess of 3 – Fee Code 2201	\$460.00	\$125.00	Application filed October 3, 2011	\$460.00 - \$125.00 = <u>\$335.00</u>
SIXTH DEFICIENT PAYMENT	2 Claims in excess of 20 – Fee Code 2202	\$200.00	\$60.00	Response filed July 19, 2012	\$200.00 - \$60.00 = <u>\$140.00</u>
SEVENTH DEFICIENT PAYMENT	Extension – 3 months with \$0 paid – Fee Code 2253	\$1,400.00	\$635.00	Response filed July 19, 2012	\$1,400.00 - \$635.00 = <u>\$765.00</u>
EIGHTH DEFICIENT PAYMENT	Request for Continued Examination – Fee Code 2801	\$1,300.00	\$465.00	Response filed November 27, 2012	\$1,300.00 - \$465.00 = <u>\$835.00</u>

Corrected Deficiency Payment Under 37 C.F.R. § 1.28(c)

Application Serial No.: 13/251,712

Patent No.: 8,515,765

Attorney Docket No.: 62KC-218182

NINTH DEFICIENT PAYMENT	Extension – 1 month with \$0 paid – Fee Code 2251	\$200.00	\$75.00	Response filed November 27, 2012	\$200.00 - \$75.00 = <u>\$125.00</u>
TENTH DEFICIENT PAYMENT	Request for Continued Examination – Fee Code 2820	\$1,900.00	\$850.00	Response filed May 14, 2013	\$1,900.00 - \$850.00 = <u>\$1,050.00</u>
ELEVENTH DEFICIENT PAYMENT	Utility Issue Fee – Fee Code 2501	~~\$1,000.00~~ \$1,780.00	\$890.00 \$110.00	Issue Fee paid July 22, 2013 Deficiency paid June 7, 2019	\$1,780.00 - \$890.00 - \$110.00 = <u>\$780.00</u>
TWELFTH DEFICIENT PAYMENT	3.5-Year Maintenance Fee – Fee Code 2551	\$1,600.00	\$800.00	Maintenance Fee paid February 9, 2017	\$1,600.00 - \$800.00 = <u>\$800.00</u>
TOTAL DEFICIENCY PAYMENT OWED	\$205.00 + \$350.00 + \$635.00 + \$420.00 + \$335.00 + \$140.00 + \$765.00 + \$835.00 + \$125.00 + \$1,050.00 + \$110.00 + \$780.00 + \$800.00 = ~~\$5,770.00~~ <u>\$6,550.00</u> Total Deficiency Owed				
37 C.F.R. 1.28(c)(2)(ii)(D)	Please note that \$4,970.00 and \$800.00 were previously charged on June 7, 2019. Accordingly, the remaining deficiency payment owed is <u>\$780.00.</u>				

Electronic Acknowledgement Receipt

EFS ID:	36534806
Application Number:	13251712
International Application Number:	
Confirmation Number:	2136
Title of Invention:	SYSTEM AND METHOD FOR A COOPERATIVE CONVERSATIONAL VOICE USER INTERFACE
First Named Inventor/Applicant Name:	Larry BALDWIN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-218182
Receipt Date:	09-JUL-2019
Filing Date:	03-OCT-2011
Time Stamp:	16:58:17
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Petition for review by the Office of Petitions	62KC-218182_Corrected_Deficiency_Payment.pdf	151412 5afe7c7ba0248effd61fc921cb5ddff71336b004	no	4

Warnings:

Information:		
Total Files Size (in bytes):		151412
This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503. <u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application. <u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course. <u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.		



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/251,712	10/03/2011	Larry BALDWIN	62KC-218182	2136
133759	7590	07/25/2019	EXAMINER	
Sheppard Mullin Richter & Hampton LLP			YEN, ERIC L	
650 Town Center Drive, 10th Floor			ART UNIT	
Costa Mesa, CA 92626			PAPER NUMBER	
			2658	
			NOTIFICATION DATE	
			DELIVERY MODE	
			07/25/2019	
			ELECTRONIC	

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

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dmipdocketing@sheppardmullin.com



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In re Application of :
BALDWIN et al. :
Application No. 13/251,712 :
Filed: 3 Oct 2011 : **DECISION ON PETITION**
For: SYSTEM AND METHOD FOR A :
COOPERATIVE CONVERSATIONAL :
VOICE USER INTERFACE :

This is a notice regarding your renewed request filed July 9, 2019, for acceptance of a fee deficiency submission under 37 CFR 1.28(c).

The file does not indicate a change of address has been submitted, although the address given on the petition differs from the address of record. If appropriate, a change of address should be filed in accordance with MPEP 601.03. A courtesy copy of this decision is being mailed to the address given on the petition; however, the Office will mail all future correspondence solely to the address of record.

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

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

Status a small entity has been removed. Accordingly, all future fees paid in this patent must be paid at the undiscounted entity rate.

Inquiries related to this communication should be directed to the undersigned at (571) 272-1058.

/Angela Walker/
Angela Walker
Paralegal Specialist
Office of Petitions

cc: Mark A. Patrick
2099 Pennsylvania Ave., NW
Suite 100
Washington, DC 2006-6801

Transmittal Communication on Petition	Application/Control No. 13/251,712	Applicant(s)/Patent Under Reexamination BALDWIN et al.	
	Deciding Official YEN, ERIC L	Office of Petitions OPET	

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

(ADDITIONAL PARTY'S CORRESPONDENCE ADDRESS)

Mark A. Patrick
2099 Pennsylvania Ave., NW
Suite 100
Washington, DC 2006-6801

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